

## **Guidelines on the Promotion of Research Integrity at Saga University**

April 24, 2015, decision of the University President

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### **1 Purpose and Application (related to Regulations Article 1)**

- (1) The purpose of these Guidelines is to determine the matters necessary for the implementation of the “Regulations on the Promotion of Research Integrity at Saga University” (enacted February 27, 2015) (hereafter, “the Regulations”), based on Article 27 of the Regulations.
- (2) In addition to as provided for by these Guidelines, responses to misconduct in research activities carried out from a budget allocated or measures implemented by the Ministry of Education, Culture, Sports, Science and Technology or the allocation organizations (hereafter, “MEXT, etc.,”) shall be based on the guidelines separately provided by MEXT, etc.
- (3) Even though outsourced research, etc., from companies and other organizations consists of research activities funded solely by funds from these companies and organizations, in order

to promote research integrity, appropriate responses based on these Guidelines shall be taken for misconduct carried out even within these research activities.

## **2 Definitions (related to Regulations Article 2)**

(1) The definitions of the terms in these Guidelines shall be pursuant to the Regulations.

### **(Conduct considered misconduct)**

(2) Conduct considered misconduct pursuant to the Regulations shall be limited to conduct related to the announcements of research results, such as the publication of a thesis. A thesis shall be considered to have been published at the point in time it appears in the relevant publication. (For example, a thesis that was submitted for publication but was refused publication as research results by the publishing company is not considered to fall within the scope of misconduct.)

(3) “Published research results” refers to results obtained from research activities that, while presenting objective and verifiable data and materials, are published for the academic community and whose content is scrutinized and criticized by it. Fundamentally, in addition to published theses, included are oral presentations of data and materials, such as presentations at discussion paper meetings and meetings of academic societies.

(4) Online discussions shall also be considered to constitute published research results in the event that they include the publishing of results obtained from research activities that, while presenting objective and verifiable data and materials, were published for the academic community.

(5) Misconduct related to a postgraduate thesis that was written as part of graduate school education is not within the scope of these Guidelines, provided, however, the relevant thesis was not published in an academic journal or similar publication.

### **(Other inappropriate actions)**

(6) “Other inappropriate actions” pursuant to Regulations Article 2.1.4 indicate inappropriate actions that damage sound research activities and that correspond to the following.

#### ① Inappropriate authorship

Authorship not corresponding to 1) to 3) below is considered inappropriate authorship.

1) In principle, persons must satisfy all of the following conditions in order to be considered to have contributed to authorship as an author of a research thesis. However, when this is difficult to ascertain, authorship shall be determined based on the agreement of the research community in the respective field, such as the characteristics of that research field.

i) Persons making a substantial contribution to the planning or concept of the research or to the implementation of the investigation or experiment; or persons who

contribute substantially to the relevant research, such as by acquiring and analyzing experimental or observational data, conducting a theoretical interpretation, or constructing a model

- ii) Persons who contribute to writing the draft of the thesis or to the completion of the thesis by expressing an opinion on important items within the thesis
- iii) Persons who approve the final version of the thesis or who are able to explain the content of the thesis

- 2) If a person does not meet the requirements of the preceding item, in principle, he/she shall only be included in the acknowledgements, even if he/she contributed to the implementation of the relevant research, including persons who only provided research equipment or facilities; provided funding; or provided instructions, suggestions, or advice on the authority of the thesis or a well-known theory.
- 3) In the event that there are multiple authors, the role played by each author in the relevant thesis shall be clarified. With regards to the order of the authors' names, as there are different international conventions depending on the research field, it shall be decided based on the agreement of the respective research community.

② Duplicated submissions

- 1) Regardless of whether it is in print or electronic media, the submission as an original thesis of a manuscript that is essentially the same as a thesis that has already been published or will be published in another academic journal is strictly prohibited. This not only wastes the time of other researchers by making them carry out a peer review unnecessarily, but it can be misleading as it results in the padding of the results and the presentation of a specific idea in multiple theses.
- 2) As the definition of a duplicated submission and the requirements for submissions differ according to the characteristics of the research field, they shall be determined based on the agreement of the respective research community (submission regulations, etc.)

③ Conflicts of interest

Conflicts of interest may not only cause bias in research and have an adverse impact on educational activities due to these different interests, they may also cause society to lose confidence in the Corporation. Therefore, when conducting research in which there is the possibility of a conflict of interest, in particular due to the implementation of an industry-university cooperation, the organizations implementing the research shall be clarified and the research results managed appropriately.

- ④ Inappropriate treatment when evaluating research (inappropriate treatment in a thesis peer review, etc.)

When researchers conduct a peer review of a thesis, if the peer reviewer should have a competitive relationship with the author of the thesis, etc., in the relevant field, or have different theories, thoughts, or beliefs, the researchers must not carry out an unreasonably strict peer review on the submitted thesis, etc., or intentionally delay the peer-review process, and must perform a peer review that is highly ethical and insightful. Also, the same shall apply in the event of a review of an application for competitive funds when the reviewer's relationship with the applicant may influence his/her review.

### **3 Responsibilities of the Corporation**

The Corporation is fully aware that its tireless responses to dealing with misconduct increase society's trust in its academic research and enable it to fulfill its mandate to society, consequentially improving the vitality of its academic research. Therefore, it shall fulfill the following responsibilities.

- ① It shall conduct continuous evaluations and improvements in order to construct a framework for maintaining research integrity and to increase the effectiveness of its operations.
- ② It shall continuously provide effective education on research ethics (hereafter, "research ethics education") that reflects the diversity of researchers, such as their positions, job titles, and responsibilities, including the research fields' characteristics and the leading researcher within inexperienced or medium-experienced research offices, and it shall strive to improve the effectiveness of this education.
- ③ It shall establish a mechanism that is able to respond swiftly and precisely when there is an allegation of misconduct to ensure that it does not lose people's confidence in its research activities as a whole.
- ④ Should it be verified that misconduct occurred, it shall thoroughly investigate the factors that lead to its occurrence and the background to it in order to ensure the same misconduct does not happen again, and implement effective improvement measures.
- ⑤ When implementing the measures described above in ① to ④, it shall give full consideration to their impact on research facilities to ensure that their research activities are not impeded by excessive measures.

### **4 Responsibilities of Researchers (related to Regulations Article 3)**

Researchers shall be fully aware that misconduct is a betrayal of academic research itself, undermines society's trust in academic research, impedes the development of academic research, and will lead to their own self-destruction as it negates their role as researchers. Therefore, they shall fulfill the following responsibilities.

- ① They shall be fully aware of their responsibility to maintain the integrity of their research, and through research ethics education and their day-to-day research activities, shall autonomously and continuously study research ethics and conduct research with integrity based on these ethics.
- ② They shall strive to foster a research climate that automatically and continuously maintains a high level of integrity by communicating to the researchers who come after them the research ethics that they have learned in their day-to-day research activities.
- ③ In order that young researchers (including post-doctoral researchers and graduate school students; same below) may conduct research activities, researchers shall establish an environment where they provide them with appropriate support and advice, such as a mentoring system.
- ④ The representative researcher in joint research shall investigate and implement effective measures in order to prevent misconduct. These shall include clarifying with the other joint researchers the objectives and content of their research and their respective roles and responsibilities, and he/she shall seek to achieve mutual understanding between the joint researchers.
- ⑤ In the event of international joint research, as it is understood that the scope of misconduct and the rules and practices for the implementation of research are different in each country, the regulations should be defined in advance for responses in the event of misconduct based on a memorandum of understanding between the research facilities and from the perspective of ensuring the integrity of the research.

## **5 Research Ethics Education (related to Regulations Article 3, Article 7)**

### **(Responsibilities of the persons responsible for research ethics education)**

- (1) The persons responsible for research ethics education shall regularly investigate the conditions of the following measures in the relevant faculty or agency and, when necessary, shall seek improvements from the researchers.
  - ① The conditions of the measures for and the completion of research ethics education
  - ② Confirming that researchers and students understand research ethics
  - ③ Instructions or matters requiring improvements from the persons responsible for research ethics education
  - ④ Matters deemed to be necessary by persons other than those responsible for research ethics education

### **(The intended recipients of research ethics education)**

- (2) The intended recipients of research ethics education shall be all researchers, regardless of whether or not they receive public funding.

- (3) The education shall also be provided to graduate students aiming to become researchers and undergraduate students who are at the stage of starting research, with the goal of deepening their understanding of research ethics.
- (4) The education shall also be provided for employees other than researchers, such as the research support personnel, based on their work duties and the characteristics of their specialist field.
- (5) The persons responsible for research ethics education shall establish a system so that research ethics education can be provided to researchers and overseas students from various countries and private companies even when joint research is being temporarily conducted within the Corporation.

**(The basic knowledge and understanding that should be learned in research ethics education)**

- (6) Research ethics education is not simply an appeal to the researchers' common sense or for them to learn empirically; in addition to studying specific case studies, they will exhaustively learn other suitable content. They will also learn the code of conduct they must comply with as researchers and the various other relevant guidelines and regulations.
- (7) In research ethics education, the researchers shall be encouraged to fully understand the measures that will be taken against misconduct and the measures for reporting misconduct, based on their acquisition of research ethics knowledge and their understanding of it. In addition, the goal is for them to become able to judge for themselves what constitutes ethical behavior and acquire the skills needed to carry out research with integrity. Moreover, an objective of this education is to enable the researchers to become able to pursue research activities with responsibility, to have an attitude of respect toward the research subjects, to eliminate possibilities that may lead to misconduct, and to develop the communication skills they will need for their research.

《Examples of the content students will learn》

- What is research ethics, and why is research ethics education essential?
- The researchers' code of conduct, including their basic responsibilities and the attitude they will require for their research activities
- The role researchers should play within society
- The methods of storing and disclosing research data, etc. (Experiment and observation records and notes, research materials other than experimental data, etc.; same below)
- What is misconduct? (Forgery, falsification, plagiarism, inappropriate authorship, duplicated submissions, conflicts of interest, etc.)
- Important points when writing a thesis (clarifying the roles and responsibilities of each of the researchers, etc.)
- How to publish and present research results

(8) In research ethics education, in addition to the research ethics all researchers must acquire regardless of their research field, the researchers will learn content that is important to their specific field (e.g., the treatment of personal information acquired from questionnaires and interviews when conducting household surveys and attitude surveys in the humanities and social sciences; safety and related matters in research in the fields of science and engineering, including bioethics; and informed consent in the fields of life science and medicine, bio-safety, and ethics for pluripotent stem cell research, etc.)

**(The methods of providing research ethics education)**

(9) In order to prevent misconduct before it occurs and promote research integrity, the persons responsible for research ethics education shall regularly provide this education for researchers in the relevant faculty or agency in accordance with the characteristics of their research field. The frequency with which it is provided shall be determined appropriately by the persons responsible for research ethics education in accordance with the characteristics of the relevant research field.

(10) The director responsible for research shall confirm that research ethics education is being steadily provided in each faculty or agency and that the researchers are completing this education.

(11) In research ethics education, a highly effective program shall be provided based on the actual conditions at research sites, diversity of research activities, and characteristics of the relevant research field. In addition, researchers shall be provided with the standard research ethics education program prepared by the Ministry of Education, Culture, Sports, Science and Technology in collaboration with the Science Council of Japan and the Japan Society for the Promotion of Science (hereafter, “the standard program”) or a research ethics education of an equivalent level (including e-learning, such as from CITI Japan).

(12) The persons responsible for research ethics education shall regularly prepare venues for communication on research ethics between researchers and students to enable younger researchers to thoroughly acquire research ethics from those researchers who have already completed their research ethics education.

(13) The persons responsible for research ethics education shall provide graduate school students with appropriate opportunities to acquire knowledge and techniques related to research ethics in accordance with the characteristics of their specialist field, regardless of whether or not it is in the curriculum. Also, they shall consider providing students even at the undergraduate stage with opportunities to learn the basic elements of research ethics.

(14) Researchers shall be provided with research ethics education equivalent to the standard program in accordance with the educational and research objectives of each faculty or agency and the characteristics of the researchers’ specialist fields. Whether the researchers have

acquired the credits to complete the relevant education shall be determined appropriately by the persons responsible for research ethics education in accordance with the characteristics of the researchers' specialist fields.

(15) When providing researchers with research ethics education, in addition to aiming to improve the quality of teaching through faculty development, the aim shall be to provide an education utilizing team teaching and a teaching staff composed of teachers from a variety of fields. Also, when providing overseas students with research ethics education, full consideration shall be given to the different ethical viewpoints of each of these overseas students.

(16) Research ethics education shall be provided by the following methods, depending on the qualities of the intended recipients.

- ① Face-to-face lectures, seminars, training, etc.
- ② E-learning
- ③ Classes
- ④ Educational activities on research ethics through printed materials, websites, etc.

Various techniques will be used to enhance the effects of the education. For example, to ensure that e-learning is not completed in a one-sided manner, it shall be combined with a two-way educational program to be implemented after the e-learning course, including small group discussions. Also, explanations shall be provided on how to store and disclose research data and practical lessons given on utilizing software to detect similarities (plagiarism). Further, with regards to competitive funds from scientific research funds, it is obligatory for the researchers to have completed their research ethics education when they are applying for or are allocated the relevant funds.

(17) When researchers applying for competitive funds need to have completed a program indicated by the allocation organization, the persons responsible for research ethics education shall seek to reduce the burden on the researchers, such as by facilitating an alternative if the content is equivalent to that of the relevant program.

**(Evaluation of research ethics education)**

(18) The persons responsible for research ethics education shall regularly evaluate it to confirm it is playing an important role as evidence of quality assurance for said research ethics education.

(19) The evaluation method shall take into consideration the intended recipients of the education and the study methods, etc. It shall not simply confirm that the researchers are completing the program and e-learning; it shall also confirm the extent to which they have understood what they have learned. Also, techniques shall be utilized so that the students firmly internalize the knowledge and skills; for example, rather than through one-sided lectures, the students' understanding of the content will be deepened through discussions between the

program participants, and they shall be required to write reports as individuals. Even in research ethics education, the aim shall be for students to acquire the knowledge and skills they are taught based on taking exams and writing reports.

- (20) Following the provision of research ethics education, when necessary, the researchers shall be issued a certificate (diploma), while also working to verify the credits obtained by the researchers.

### **6 Storage and Disclosure of Research Data, Etc. (related to Regulations Article 3)**

- (1) The results of research carried out through public funds and the research data, etc., obtained from this research have the attributes of a public asset. Therefore, in the event of an allegation of misconduct, it is necessary for the researchers themselves to verify the validity of their research activities and to verify their original data, etc., to the persons carrying out the investigation. Consequentially, researchers have the responsibility to appropriately store their research data and to disclose it when necessary.
- (2) The head of the faculty or agency shall regularly confirm that the research data, etc., are being stored appropriately in the relevant faculty or agency.
- (3) The research data that must be stored by researchers, the storage methods, and storage periods shall be in accordance with the type and characteristics of the research data, etc., and in principle, shall be in accordance with the following items.
- ① Research data that must be stored
    - 1) The research data, etc., that must be stored are data related to a thesis, etc., that the researcher has published externally (research results). The treatment of data that were not used for the publication of a thesis, etc., or that are not intended to be used for a publication, is at the discretion of the researchers themselves.
    - 2) Decisions on students' research data, etc., shall be taken under the responsibility of the relevant student's teaching advisor.
    - 3) When research data, etc., related to research results from joint research conducted by multiple researchers are to be stored, each part shall be stored by the relevant researcher that was responsible for that respective part.
  - ② Storage methods
    - 1) Research data, etc., shall in principle be stored on the unit of each individual researcher. Students' research data, etc., shall be stored on the unit of the research office of the teaching advisor.
    - 2) Researchers shall leave records of the processes in their research activities, including experiments and observations, in the form of experiment notes, etc. The experiment notes shall include sufficient information that will be useful for other researchers and

for verifying the experiment at a later date, such as logs on how the experiment was conducted and the conditions under which the data were acquired, and it shall be prepared in a form that cannot be altered subsequently. In addition, the experiment notes shall be stored appropriately as the primary information record on the research activities.

- 3) The research materials (documents, numerical data, images, etc.) that will become the foundation for the presentation of the research results as a thesis, report, etc., shall be stored in an appropriate form so that they can be used by other researchers and verified at a later date. Also, when storing data, care shall be taken to prepare meta-data and to ensure that the relevant data can be searched and traced so that it may be used and referred to at a later date.

③ The storage period

- 1) The storage period of materials (documents, numerical data, images, etc.) shall in principle be 10 years from the date of the publication of the relevant thesis, etc. Electronic data shall be stored in a reusable form by the preparation and management of meta-data and the creation of appropriate backup data. It is preferable that paper materials are stored for at least 10 years, but in the event that there are unavoidable circumstances, such as restrictions on storage space, they may be disposed of after a reasonable period that the researchers themselves shall stipulate at the time the thesis, etc., is published.
- 2) In principle, the samples (experimental samples, specimens) and equipment shall be stored for five years after the publication of the relevant thesis, etc. However, this shall not apply for items that are inherently difficult to store (e.g., unstable substances or samples that were consumed in the experiment itself) or that would be extremely expensive to store (e.g., biological samples).
- 3) After the storage period, the research data, etc., shall be discarded by an appropriate method. However, it may be stored for a period longer than the storage period when this is judged to be necessary by the researcher.

④ The treatment of data following the transfers of researchers, etc.

- 1) The research data, etc. (including the research data of students the researcher is advising) that are being stored by researchers who are leaving the Corporation due to a transfer to another research facility, retirement, etc. (hereafter, “the leaver”) shall, in principle, continue to be stored by the head of the relevant research office under the supervision of the head of the faculty or agency.
- 2) In the event that the leaver wants the research data, etc., to be stored at the other research facility in order to continue his/her research at this research facility, after preparing a list of the relevant research data, etc., he/she shall receive the permission of the head of

the faculty or agency. In this case, duplicates of the research data, etc., shall be prepared and either the originals or the duplicates shall be submitted to the head of the faculty or agency. If it is difficult to prepare duplicates of the research data, etc., the head of the faculty or agency shall decide how the matter shall be handled.

- 3) Research data, etc., that continue to be stored by the head of the research office under the supervision of the head of the faculty or agency shall be stored appropriately in accordance with these Guidelines and shall be discarded by an appropriate method at the end of the storage period. As research data, etc., include the ideas and the expertise of the researchers, it must not be used for a reason other than for research duties or for an investigation into misconduct.
  - 4) Within the research data, etc., of researchers who will become researchers at the Corporation as they have been employed by or transferred to the Corporation from another research facility (hereafter, “the transferee”)—that is, data that are from prior to the transfer—any data, etc., that are still within the storage period as provided for by these Guidelines shall be stored in accordance with these Guidelines.
- ⑤ Disclosure
- 1) When there is an allegation of misconduct against a researcher, the researcher shall respond in good faith, appropriately, and on his/her own responsibility to requests from the Corporation and the Investigation Committee to disclose research data, etc., at the stages of the preliminary investigation and the investigation. If the investigation is conducted at a research facility outside of the Corporation, the same shall apply for requests for disclosure of research data, etc., from the research facility conducting the investigation.
- ⑥ Treatment of other research data, etc.
- 1) Personal data, etc., for which there are legal regulations (e.g., survey data from the social sciences, field observation data from the clinical field, human-genome information, etc.) and for which there are ethical considerations, shall be treated in accordance with the relevant regulations and guidelines.
  - 2) The treatment of results from a specific research project shall be in accordance either with the arrangements of the allocation organization or as separately provided for by the joint research contract.
  - 3) Research data from prior to the enforcement of the Regulations (prior to academic year 2014) are outside the scope of these Guidelines. However, the deliberate destruction of research data, etc., or its loss by inappropriate management cannot be said to be responsible research behavior and also makes it impossible for the researcher to defend himself/herself in the event of an allegation of misconduct. Therefore, in principle, this

data shall be treated in accordance with these Guidelines. Researchers have a duty of accountability for allegations of misconduct, and if they cannot show evidence due to having failed to keep research data, etc., this will be considered evidence verifying the misconduct.

(Reference) Types of research data, etc., and storage methods

Type		Format / form	Storage method	Notes
Materials (information, data, etc.)	Digital data	Electronic data	Recording medium, hard disk, etc.	<ul style="list-style-type: none"> <li>• Backup data are required</li> <li>• Meta-data must be prepared and managed</li> </ul>
	Analogue materials	Paper materials, etc.	Filing, etc.	• The aim shall be to digitize data if possible, reduce storage costs, and improve the ability to search and read the data
Samples, etc. (experimental samples, specimens, equipment, etc.)	Items that will not deteriorate	Stable substance, specimens, etc.	Simple storage	
	Items that will deteriorate	Unstable substance, reactive substance, biological samples, valuable specimens, etc.	Stored in a special environment	

**7 Reporting, Etc. (related to Regulations Article 9 to Article 12)**

**(Method of receiving reporting, etc.)**

- (1) Reporting or requests for consultations (hereafter, “reporting, etc.”) shall be carried out by submitting the specified “Reporting Form” to the reception desk.
- (2) The reception desk shall request that the reporter make the necessary amendments if the

specified content is not presented on the Reporting Form.

- (3) The reception desk shall not accept the Reporting Form if the reporter does not comply with a request for an amendment by the reception desk or does not present the prescribed content on the Reporting Form.

**(Treatment of reporting, etc.)**

- (4) In the event that the person being reported on is a researcher who does not belong to the Corporation, and the Corporation is not the research facility that should conduct the investigation, the director responsible for research shall circulate the relevant reporting to the research facility that he/she considers appropriate to conduct the investigation.
- (5) In the event that the director responsible for research considers another research facility to be appropriate to conduct the investigation in addition to the Corporation, the relevant research facility shall be notified of the reporting and discussions on the response shall be held between these relevant research facilities.
- (6) In the event that the director responsible for research considers it appropriate for the Corporation to conduct the investigation for reporting circulated to it by another research facility, the relevant reporting shall be treated as reporting made to the Corporation.

**(Notification to relevant authorities)**

- (7) The director responsible for research shall notify the content of the reporting to the relevant authorities if he/she considers that a law, etc., may have been violated.
- (8) When issuing a warning to the person being reported on based on the reporting of misconduct that is about to take place or reporting that misconduct has been demanded, if the person being reported on belongs to a research facility outside of the Corporation, the director responsible for research shall notify the relevant research facility of the contents of the warning, etc.

**(Dissemination of reporting procedures, etc.)**

- (9) The director responsible for research shall widely disseminate the following information both inside and outside of the Corporation.
  - ① In order to prevent malicious reporting, in principle, reporting shall be accepted only when the reporter gives his/her name.
  - ② In the reporting, it is necessary to present a scientifically rational reason for deeming that misconduct has occurred or is about to occur.
  - ③ The reporter will be required to cooperate with the investigation.
  - ④ If, as a result of the investigation, the reporting was determined to be malicious reporting, the reporter's name may be published, disciplinary action taken, and criminal proceedings initiated.

## **8 Institutions Conducting the Investigation**

- (1) In the event that the person being reported on belongs to the Corporation (including researchers who do not belong to any of the Corporation's research facilities and solely used its facilities and equipment; same below), in principle, the Corporation shall conduct the investigation into the reported matter.
- (2) In the event that the person being reported on belongs to multiple research facilities including the Corporation, in principle, centered upon the research facility where the person being reported on mainly conducted the research relating to the matter reported on, the multiple research facilities to which he/she belongs shall jointly conduct the investigation. However, the main research facility and the research facilities participating in the investigation shall respond to the allegation while giving consideration to the details of the matter, etc., between the relevant research facilities.
- (3) In the event that the person being reported on currently belongs to the Corporation but the reporting relates to research activities conducted at a research facility outside of the Corporation, in principle, the Corporation and the research facility where the relevant research activities took place shall jointly conduct the investigation into the reported matter.
- (4) If the person being reported on belonged to the Corporation when the research activities related to the matter reported took place but currently no longer belongs to the Corporation, the research facility to which he/she currently belongs and the Corporation shall jointly conduct the investigation into the reported matter. If the person being reported on did not enter another research facility after leaving the Corporation, the Corporation shall conduct the investigation of the matter reported on.
- (5) If the matter reported on is to be investigated in accordance with any of (1) to (4) described above, the Corporation shall faithfully conduct the investigation regardless of whether the person being reported on currently belongs or does not belong to the Corporation.
- (6) If the person being reported on did not belong to any research facility at both the time the investigation (including the preliminary investigation) began and when the research activities that were reported took place, or if it would be extremely difficult for the research facility that should conduct the investigation to conduct said investigation, or when the matter reported on is recognized as being special by the allocation organization, the Corporation shall faithfully cooperate with a request for cooperation from the relevant allocation organization.

## **9 The Preliminary Investigation (related to Regulations Article 13)**

- (1) The head of the faculty or agency shall conduct the preliminary investigation on the following matters.

- ① The possibility that the reported misconduct occurred
  - ② The logic of the scientifically rational reason given in the reporting
  - ③ In the period from the publication of the research activities related to the reported matter until the actual reporting, the research results data that can be verified after the research, such as raw data, experiment and observation notes, and experimental samples and reagents, to confirm whether the storage period was appropriate according to the characteristics of each research field or whether it exceeded the storage period stipulated by the research facility to which the person being reported on belongs
  - ④ Other matters on the rationality of the content of the reporting and the possibility of an investigation, etc.
- (2) When it is determined that an investigation is not possible, if necessary, the head of the faculty or agency has the authority to request that the reporter, the person being reported on, or other related parties attend a hearing or submit various materials, etc. The related parties shall cooperate faithfully with said request and may not refuse to do so without a legitimate reason.
  - (3) The head of the faculty or agency may request the opinions of faculty members from another faculty or agency or from persons outside of the Corporation when deemed necessary in order to obtain other specialist viewpoints.
  - (4) In the event that a preliminary investigation is to be conducted on reporting on a thesis, etc., that was withdrawn prior to the reporting, the head of the faculty or agency shall determine whether or not an investigation into the misconduct, including the details and circumstances of the withdrawal, shall be conducted.
  - (5) When the preliminary investigation is completed, the head of the faculty or agency shall report the results of the preliminary investigation, including the content described below and with the relevant materials attached, to the director responsible for research.
    - ① The job title and name of the person(s) who conducted the preliminary investigation
    - ② The funding subject to investigation
    - ③ A summary of the investigation
    - ④ A summary of the testimonies, etc., of the related parties
    - ⑤ Other content deemed to be necessary by the head of the faculty or agency
  - (6) In the event that it might not be possible to complete the preliminary investigation within 30 days from the day the reporting was received due to unavoidable circumstances, the head of the faculty or agency shall submit a report describing the reasons for this to the director responsible for research prior to the deadline for the preliminary investigation, and receive his/her approval.
  - (7) When the decision is taken to conduct the investigation and the person being reported on belongs to a research facility outside of the Corporation, the director responsible for research

shall promptly notify the relevant research facility.

**10 The Investigation (related to Regulations Article 14, Article 15)**

**(The Investigation Committee)**

- (1) An appeal may be lodged against the constituent members of the Investigation Committee by submitting the prescribed form “Application to Lodge an Appeal Against a Member of the Investigation Committee.”
- (2) The Investigation Committee has the authority to request that the reporter, the person being reported on, and other related parties attend hearings or submit various materials. The related parties shall faithfully comply with said request and may not refuse to do so without a legitimate reason.
- (3) The Investigation Committee may suspend the investigation when it judges there to be significant impediments to the investigation’s procedures, such as the reporter refusing to cooperate with the investigation.
- (4) When the investigation may not be completed within 150 days from the start of the investigation due to unavoidable circumstances, the Chairperson of the Investigation Committee shall submit a report describing the reasons for this to the director responsible for research prior to the deadline for the investigation, and obtain his/her approval.
- (5) The director responsible for research shall determine when the Investigation Committee shall be dissolved.

**(The investigation method, etc.)**

- (6) In the event that the Investigation Committee requests that the person being reported on shows reproducibility by carrying out an experiment again, or when the person being reported on voluntarily offers to do so, the Investigation Committee shall secure the time and opportunity required to do so (including equipment, costs, etc.) within a range that is deemed reasonable and necessary. However, in the event that the person being reported on repeats the offer with the same content as a previous offer, and the Investigation Committee judges that his/her main objective is to drag out the relevant matter and to postpone the verification, it may refuse the relevant offer.
- (7) During the investigation, the person being reported on shall be given opportunities for a fair hearing and to provide a rebuttal or defend himself/herself. In this case, the Investigation Committee shall not refuse an application for attendance by the legal representative of the person being reported on without a legitimate reason.

**(Conservation measures, etc.)**

- (8) In the investigation, when it is deemed that it will be difficult to acquire the materials necessary to appropriately verify the facts through other methods, or when it is deemed possible that

materials, etc., are being concealed or will be destroyed, the director responsible for research may obtain the cooperation of the relevant faculty or agency and implement the following conservation measures. These activities shall not be limited to the research activities of the person being reported on as long as they are within the scope of not being affected by the relevant measures.

- ① Specifying locations subject to the investigation and prohibiting the person being reported on from entering the relevant locations
  - ② Prohibiting the person being reported on from contacting persons designated by the Investigation Committee as being interested parties
  - ③ Prohibiting the person being reported on and others persons designated by the Investigation Committee from taking items out of the places designated as being subject to the investigation
  - ④ Closing the places subject to the investigation for a stipulated period
- (9) When the research facility where the research activities related to the reporting took place is outside of the Corporation, the director responsible for research may request that the relevant research facility take measures to conserve the materials, etc., that may become evidence in the investigation of the research related to the reporting.
- (10) The person being reported on shall provide notification if the conserved materials, etc., include confidential information; and when conserving these materials, the director responsible for research shall confirm whether they include the relevant confidential information indicated by the person being reported on.
- (11) After the period for submitting an appeal has elapsed without an appeal, or after the result of the review of the appeal has been confirmed, the director responsible for research shall promptly lift the conservation measures.
- (12) In the event that MEXT, etc., requests materials related to the relevant matter be submitted to it or to inspect them while the investigation is still ongoing, the director responsible for research shall comply with said request unless there is a legitimate reason not to do so, such as that doing so would impede the investigation.

#### **11 Verification (related to Regulations Article 16, Article 17)**

- (1) After the verification is completed, the director responsible for research shall report the following items to MEXT, etc.
- ① The details and a summary of the matter (when the matter was discovered and what triggered it, the details of the investigation, etc.)
  - ② The investigation system, its content, period, what was investigated, (who, what research activities, and what expenses were investigated), the methods and procedures, how the

Investigation Committee was formed, when it met, what it discussed, etc.

- ③ The results of the investigation (type of misconduct, researchers involved in the misconduct, expenses and research issues pertaining to the misconduct, specific details of the misconduct, conclusions of the Corporation based on the results of its investigation and the reasons for its judgment, etc.)
  - ④ Details of the measures taken by the Corporation up to that time
  - ⑤ Factors behind the misconduct and measures taken to prevent its reoccurrence
  - ⑥ Any other matters deemed necessary by the director responsible for research
- (2) When the verification is completed and the reporter and/or the person being reported on (including persons other than the person being reported on verified as participating in the misconduct; same below) belong to a research facility outside of the Corporation, the director responsible for research shall promptly notify the relevant research facility of the results of the verification.
  - (3) When the reporting was verified as malicious reporting and the reporter belongs to a research facility outside of the Corporation, the director responsible for research shall promptly notify the relevant research facility of the results of the verification.
  - (4) In the event that the person being reported on attempts to clear him/herself of the allegation of misconduct in research activities relating to the matter reported, the Investigation Committee shall judge the probative value of evidence acquired by the investigation. In this case, the judgment shall be made based on the objective facts on the misconduct obtained from various viewpoints, such as the research system, the person checking the data of the person being reported on, the willfulness of the misconduct, etc.
  - (5) In the event that the person being reported on has been transferred from or to another research facility and the storage periods of the research data, etc., in the research facilities before and after the transfer are different (e.g., in the event that the research data, etc., no longer exist because the storage period stipulated by the research facility the person belonged to when carrying out the research activities relating to the reporting has elapsed, etc.), the Research Integrity Committee shall not treat this in a manner that is disadvantageous to the person reported on during its verification of whether or not misconduct occurred.

## **12 Appeals and Re-investigation (related to Regulations Article 18, Article 19)**

- (1) An appeal may be lodged by submitting the prescribed form “Application to Lodge an Appeal Against the Verification of Misconduct” that shall include the following items.
  - ① The name and address of the person lodging the appeal
  - ② The details of the verification
  - ③ The scientific and rational reason that a re-investigation should be deemed necessary

- (2) When an appeal is received from a person being reported on who was verified as having committed misconduct or a reporter verified as having committed malicious reporting (hereafter, “person subject to verification”) and the person subject to verification belongs to a research facility outside of the Corporation, the director responsible for research shall promptly notify the relevant research facility to this effect.
- (3) When the Research Integrity Committee decides to conduct a re-investigation and the person subject to verification belongs to a research facility outside of the Corporation, the director responsible for research shall immediately notify the relevant research facility to this effect and also provide the reason for the decision.
- (4) When it is decided not to conduct a re-investigation and to terminate the review and the person subject to verification belongs to a research facility outside of the Corporation, the director responsible for research shall immediately notify the relevant research facility to this effect and also provide the reason for the decision.

### **13 Re-verification (related to Regulations Article 20)**

- (1) When there is a rational reason that the Research Integrity Committee cannot decide whether or not to overturn the results of the investigation within 50 days from the day the appeal was received from the person being reported on and who was verified as having committed misconduct, it shall submit a report describing why it cannot decide and the date by which it plans to have made a decision to the director responsible for research and receive his/her approval.
- (2) When there is a rational reason that the Research Integrity Committee cannot decide whether or not to overturn the results of the investigation within 30 days from the day the appeal was received from the reporter verified as having committed malicious reporting, it shall submit a report describing why it cannot decide and the date by which it plans to have made a decision to the director responsible for research and receive his/her approval.
- (3) When a decision has been made on whether or not to overturn the results of the verification and the person subject to verification belongs to a research facility outside of the Corporation, the director responsible for research shall notify the relevant research facility to this effect.

### **14 Public Announcement of the Results of the Verification (related to Regulations Article 21)**

- (1) When the misconduct is verified, in principle, the University President shall publically announce the following items.
  - ① The name and affiliation of the person(s) participating in the misconduct
  - ② The details of the misconduct

- ③ The details of the measures taken by the Corporation up to the time of this announcement
  - ④ The names and affiliations of the Investigation Committee members
  - ⑤ The investigation's methods and procedures, etc.
  - ⑥ Any other items deemed necessary by the University President
- (2) When the misconduct is verified, the University President may decide not to publically announce the name and affiliation of the person(s) participating in the misconduct in the event that the relevant thesis, etc., was withdrawn prior to the reporting.
  - (3) When reporting is verified as malicious reporting, in principle, the University President shall publically announce the following items.
    - ① The name and affiliation of the reporter
    - ② The reason the reporting was verified as malicious reporting
  - (4) When the results of the verification are to be publically announced, the University President shall notify the person subject to verification to this effect and shall also notify the head of the faculty or agency to which the person subject to verification belongs (the relevant research facility in the event that the person subject to verification belongs to a research facility outside of the Corporation), and to MEXT, etc.

## **15 Measures (related to Regulations Article 22)**

### **(The measures during the investigation)**

- (1) During the period from when the decision to conduct the investigation is taken until the report of the results of the investigation are received from the Investigation Committee, the University President may take necessary measures against the person being reported on, such as temporarily suspending the allocation to him/her of research costs related to the reporting.
- (2) In that event that the University President is ordered by the allocation organization to suspend the allocation of the relevant research costs, etc., to the person being reported on, he/she shall take the necessary measures to comply with the relevant order.

### **(Measures in the event the misconduct is verified)**

- (3) In the event that the misconduct is verified, the University President shall recommend other corrective measures to the person being reported on, such as the withdrawal of the thesis pertaining to the verified misconduct.
- (4) The person being reported on shall indicate to the University President whether or not he/she intends to comply with said recommendation within 14 days of receiving it.
- (5) If the person being reported on indicates he/she will not comply with the recommendation, the University President shall publically announce this.
- (6) The University President shall order the person being reported on to stop using all or part of the research costs allocated to him/her.

- (7) The University President shall consider the severity and maliciousness of the misconduct and its impact on research as a whole, and demand that the person being reported on reimburse all or part of the research costs allocated to him/her for the research pertaining to the verified misconduct. Provided that, however, in the event that the research pertaining to the relevant matter was not carried out using the funds from the allocation organization, in principle, the decision of the relevant allocation organization shall be complied with.
- (8) The decision on the amount of money to be reimbursed shall in principle be taken in accordance with the following items.
- ① All unused research costs must be reimbursed. In addition, when costs are incurred for the reimbursement, a penalty, etc., may be added to the amount to be reimbursed.
  - ② All used research costs must be reimbursed. However, when it is judged it does not correspond to the full amount, one part must be reimbursed.
  - ③ The person being reported on must reimburse the expenses that were needed to conduct the experiment again to show reproducibility.
  - ④ In the event that the Corporation has reimbursed the research costs to the allocation organization and the amount reimbursed by the person being reported on is less than the relevant amount paid by the Corporation, the Corporation shall demand the shortfall from the person being reported on. Also, if the amount of research costs already reimbursed by the person being reported on is greater than the amount being requested for reimbursement by the allocation organization, the difference shall be reimbursed to the person being reported on.
- (9) The person being reported on may not allocate operating expenses, external funds, or any other public funds to their reimbursement costs.
- (10) The University President shall punish the person being reported on in accordance with the relevant laws, the rules of employment, and any other relevant regulations, and shall take any other necessary measures including initiating criminal proceedings.
- (Measures when it was verified misconduct did not take place)**
- (11) When it is verified that misconduct did not take place, the University President shall lift the measures imposed against the relevant person during the investigation, such as the suspension of the allocation of research costs to him/her.
- (12) The University President shall inform the parties related to the investigation that misconduct did not take place. Also, if the relevant matter was leaked to parties other than those related to the investigation, when necessary, the University President shall also inform parties other than those related to the investigation to this effect.
- (13) When the reporting is verified as malicious reporting, the University President shall punish the reporter in accordance with the relevant laws, the rules of employment, and any other

relevant regulations, and shall take any other necessary measures including initiating criminal proceedings. In addition, the reporter shall be requested to reimburse the costs required for the investigation, such as to conduct the experiment again. In the event that the reporter is a researcher belonging to a research facility outside of the Corporation, the University President may request that the relevant research facility take the appropriate measures.

**(Correctional measures, etc.)**

- (14) In the event that the results of the investigation verified that misconduct took place, the Research Integrity Committee shall promptly petition the University President for the implementation of correctional measures, measures to prevent the misconduct occurring again, and any other measures necessary to establish and maintain an appropriate research environment (hereafter, “the correctional measures, etc.”).
- (15) Based on the petition of the Research Integrity Committee, the University President shall order the relevant head of the faculty or agency to implement the correctional measures, etc., and when necessary, the correctional measures, etc., shall be implemented throughout the entire Corporation.
- (16) When correctional measures are implemented, if necessary, the University President shall publically announce the details of said measures, etc., and also report them to the head of the faculty or agency to which the person subject to verification belongs (the relevant research facility when the person subject to verification belongs to a research facility outside of the Corporation), and to MEXT, etc.

**16 Prohibition of Discriminatory Treatment (related to Regulations Article 23)**

- (1) All persons who belong to the Corporation must not carry out discriminatory treatment against the reporter or the person being reported on without an appropriate reason.
- (2) The University President may punish persons who carry out discriminatory treatment of the reporter or person being reported on in accordance with the rules of employment and other relevant regulations.

**17 Confidentiality (related to Regulations Article 24)**

- (1) The reception desk shall thoroughly protect the reporter, including observing the confidentiality of the reporter.
- (2) When the reception desk receives reporting, etc., when the reporting is made in person, it shall receive it in a private room; and when it is received by fax or email, it shall use appropriate methods to ensure that the contents are not revealed to other persons either at the time the reporting is received or at a later time.

- (3) In the investigation (including the preliminary investigation), consideration shall be given to ensuring that the reporter cannot be identified by parties other than those related to the investigation and the person being reported on, except when the permission of the reporter has been received.

### **18 Removal of Conflicts of Interest (related to Regulations Article 25)**

The scope of parties deemed to have a conflict of interest who cannot receive the reporting or conduct duties related to the investigation shall correspond to the following persons.

- ① The reporter or person being reported on himself/ herself
- ② Persons who themselves participated in the research pertaining to the matter, such as a representative of the research alleged to have contained the misconduct or a member of the relevant research project
- ③ Relatives of the reporter, the person being reported on, the research representative, members of the research project in which the misconduct is alleged to have occurred, or persons with a relationship that can be deemed equivalent to that of a relative
- ④ Persons who have a close, teacher-student type relationship or a direct employment relationship with the reporter, the person being reported on, the research representative, or members of the research project in which the misconduct is alleged to have occurred (e.g., persons with an affiliate relationship conducting the same research on the same course (research office), etc.)
- ⑤ In the event that the research pertaining to the misconduct was joint research conducted with a company, etc., persons who participated in the relevant joint research, etc., such as the researchers themselves, their relatives, or persons having a relationship with them who can be considered equivalent to relatives (e.g., persons conducting joint research, etc.; persons co-authoring a thesis, etc.; persons participating in a research meeting with the same purpose, etc.)
- ⑥ The researchers themselves for whom there is the possibility that their patents or technology transfer, etc., will be affected based on whether or not results were obtained or not obtained in accordance with the thesis for research pertaining to the misconduct; their relatives; or persons or having a relationship within them who can be considered equivalent to relatives
- ⑦ Persons with confrontational relationships or competitive relationships with the person being reported on that might result in a loss of fairness through them carrying out the duties required of the reception desk and the investigation
- ⑧ Persons for whom it is considered highly possible that the fairness of the procedures will be harmed by them having any other conflict of interests deemed equivalent to those

described above in ① to ⑦

### **19 Other Items**

In addition to as provided for by these Guidelines, the items necessary to implement these Guidelines (including treatment that would be difficult based on these Guidelines, such as in the event of a complex case involving both misconduct and the unauthorized use of research costs) shall be provided for separately by the University President.