

## Guidelines Regarding Academic Research Ethics

### Purpose

Waseda University establishes these Guidelines for all people concerned with academic research activities in the University, for the purpose of raising trust in academic research and scientific technology, and assuring that all members of the University will conduct themselves faithfully in good conscience in conformity with the spirit of the Waseda University Academic Research Ethics Charter.

### Scope

These Guidelines apply to all teaching and administrative staff of the University who are involved in research activities and all other people with Research Funds or those who are using the facilities or equipment of the University while performing research activities (hereinafter “Researchers”).

### Duties of the University

1. The University shall take the necessary steps to raise the consciousness of Researchers regarding research ethics and to prevent any misconduct concerning research activities and misconduct concerning the handling of Research Funds.
2. If Researchers behave inappropriately in the course of academic research, the University shall take prompt and appropriate action internally and externally, including assuring the accountability of those investigating the causes of such inappropriate conduct, and improving the research system so as to prevent future misconduct.
3. The University shall appropriately manage the research funds that it issues to its Researchers and all research funds that its Researchers receive from outside sources (Research Funds) by strictly confirming and auditing that Researchers expend such funds appropriately when or after Researchers spend such funds.
4. The University shall educate and train Researchers to prevent violations of the relevant laws and regulations.

5. The University shall make all efforts to create an environment providing appropriate support and advice to enable young Researchers to conduct their research activities independently.

## Duties of Researchers

### (I) Basic Principles

1. Researchers shall act faithfully in accordance with their own good conscience.
2. Researchers shall attempt to avoid any negative effects caused by conflicts of interests and to act in conformity with the University's basic policy regarding such conflicts arising in industry-university-government collaboration activities and other activities.
3. In their research, Researchers must not perform any misconduct such as fabrication, falsification, or plagiarism, and moreover must attempt to prevent such misconduct concerning research activities and misconduct concerning the handling of Research Funds by complying with the conditions and rules attached to such funds.
4. Supervisors of Researchers shall appropriately manage Researchers under their supervision and their research activities so that no misconduct regarding those activities occurs.
5. If Researchers become aware of any misconduct, they shall make efforts to improve the situation.
6. When conducting joint research, Researchers are expected 1) to clarify matters such as research objectives, research materials and procedure, task definition and assignment, and responsibility of research collaborators, and 2) to make an effort to ensure mutual understanding.
7. In joint research, the research representative, whose job it is to be fully familiar with the project and to manage all research activities conducted by a number of researchers, is expected to adequately oversee individual research activities and outcomes.

### (II) Management of Research Information and Research Equipment

1. When appropriate, Researchers shall save and manage the necessary data, test samples, materials and other information to the most reasonable extent possible so that results can be replicated.

2. Researchers are strongly encouraged to record their research process in the form of research notes when conducting research activities such as experiments, observations and surveys. The research notes must contain information (such as logs of experiments and other operations; and conditions of data acquisition) sufficient for use and verification at a later date. Research notes must be in a form that does not allow subsequent alterations. All such research notes must be properly stored as the primary information record of research activities.
3. Researchers must take the necessary steps to prevent any external leakage through misconduct or negligence of test samples, materials, and other research information acquired for research.
4. Researchers must manage devices, machinery, chemicals, materials and other objects used for research appropriately and safely, based on the rules of the University, and must not remove these from the University premises without reasonable justification.

(III) Standard of Appropriate Publication / Authorship of Outcomes of Research

1. Researchers shall ensure the reliability of the data and the grounds of the outcomes of research when publishing such papers, and they must fairly and appropriately quote their sources.
2. When publishing their outcomes, Researchers shall pay particular attention to authorship and the standards regarding the use of related data from existing publications, copyrights, and other matters, as well as the customs and rules peculiar to research organizations, academic associations, academic journals, and other institutions.
3. When publishing the outcomes of collaborative research, Researchers must appropriately reflect the extent to which each of the Researchers contributed.

(IV) Evaluating the Achievements of Other Persons

1. When evaluating or reviewing others' research papers or the outcomes of research achievement, Researchers must evaluate based on the standards of the evaluation concerned and on their own knowledge, without any uninformed conclusions.
2. Researchers must not use information obtained in the process of evaluating others' research achievements, to disclose to others without reasonable justification, or to use for any unfair purposes.

(V) Protection of Personal Information

Researchers must not disclose to others without reasonable excuse, personal information obtained in the course of their research activities, nor use it for any unfair purposes.

(VI) Prohibition of Harassment

Researchers must not harass others in violation of any individual's human rights and must act in accordance with the spirit of the Guidelines preventing harassment at the University in the course of research activities.