

Detailed Regulations for Enforcement of the *Rules for Preventive Measures against Research Misconduct and the Investigation Procedures*

(Regulation 16-78-2, February 3, 2017)

Administered by the Research Management Section Manager

Revised on March 21, 2017 Regulation 16-78-3

(Purpose)

Article 1 In accordance with the *Waseda University Academic Research Ethics Charter* and the guidelines for academic research ethics, these detailed regulations set in place the matters necessary for the enforcement of the regulations, based on the provisions of Article 25 of the *Rules for Preventive Measures against Research Misconduct and the Investigation Procedures* (Regulation 07-01, April 6, 2007, hereinafter referred to as “the Rules”). However, this shall not apply if there is a superseding law or other provision.

(Definition)

Article 2 The meaning of the terms in these detailed regulations is in line with the meaning of the terms as defined in each paragraph of Article 2 of the Rules.

(Applicable subjects)

Article 3 Research-related materials that are subject to storage and disclosure, as stipulated in paragraphs 2 and 3 of Article 3 of the Rules, shall be the grounds for the creation of published research outcomes (hereinafter referred to as “research papers”) that fall under the following categories.

- (i) Research papers published in academic journals
- (ii) Academic dissertations
- (iii) Academic deliverables, to be appropriately handled in a manner equivalent to the previous two items, in accordance with the practices of the research field.

(Responsibility structure)

Article 4 The researchers who authored the relevant research papers are responsible for preserving the research-related materials.

2 The head of the department to which a given researcher belongs (hereinafter referred to as “the department head”) must take the necessary measures concerning the preservation of research-related materials, as prescribed in the preceding paragraph.

(Preservation period for research-related materials)

Article 5 The period of preservation of research-related materials that are the basis of research papers shall be the period specified for each item, as indicated by category below.

- (i) Research-related materials such as written documents, numerical data, and images: 10 years
- (ii) Tangible objects such as experiment samples, specimens and equipment: five years

2 Notwithstanding the provisions of the preceding paragraph, the department head may set a preservation period within the department in line with the characteristics of the research field. In such cases, a reasonable reason for the setting of such preservation period shall be provided.

3 Notwithstanding the provisions of the preceding two paragraphs, if a related law or contract stipulates a preservation period longer than the period specified in paragraph 1, the stipulated preservation period shall be in accordance with the provision of such law or contract.

4 The preservation period specified in the preceding three paragraphs shall be calculated from the time of publication of the research paper.

(Preservation method for research-related materials)

Article 6 Researchers must preserve research-related materials in an appropriate and proper manner so that they can be used when it is required for verification, in accordance with the provisions of paragraph 2 of Article 3 of the Rules. In such case, any digitized data shall be preserved in a reusable manner by organizing and managing the metadata and making appropriate backups of the data.

2. When a researcher retires or leaves the school, the department head must take appropriate measures (such as confirming the whereabouts of the research-related materials and making them traceable) to preserve the related research-related materials. In this case, if the researcher had a supervisor, the department head may request the supervisor to take such measures.

3 In addition to the preservation method specified in the preceding two paragraphs, the department head may set concrete preservation methods within the relevant department, with consideration of matters such as the characteristics and shape of the research-related materials, location restrictions and preservation costs.

(Disclosure)

Article 7 Researchers must promptly respond to requests for disclosure of research-related materials in line with the provisions of paragraph 3 of Article 3 of the Rules. However, this does not apply to cases where researchers cannot respond to a request for disclosure and immediately report the reason to the Academic Research Ethical Review Committee or the investigative committee, and the committee finds the reason rational.

2. When the department head is requested to cooperate with a survey conducted by an institution to which a researcher has moved, or by an allocating organization, he/she shall disclose the research-related materials, in accordance with the provisions of paragraph 2 of Article 6.

Supplementary Provision

(Effective date)

1. These detailed regulations shall come into effect on February 3, 2017.

(Transitional measures)

(2) When implementing these detailed regulations, the department head and researchers shall endeavor to comply with these regulations governing the storage and disclosure of research-related materials held prior to the date of enforcement.

Supplementary Provisions (Regulation 16-78-3, March 21, 2017)

These detailed regulations shall come into effect on March 21, 2017.

* If this English version does not conform to Japanese version, the Japanese version shall prevail.
