



**Self Management Seminar for Students**

# **Seminar on Academic Research Ethics**

**Research Promotion Division**

## Typical Examples of Improper of Research Funds

- **Vendor Deposits**

- Deliberately prompting a research institute to make payments for fictitious transactions so as to deposit them with the vendor.

- **Fraudulent Business Trips**

- Deliberately submitting a false report on travel expenses and thereby prompting a research institute to provide reimbursement for business trips that have never taken place.

- **Fraudulent Remuneration**

- Deliberately prompting a research institute to remunerate work that has never been done.

# Examples of Improper Use of Research Funds

- **WASEDA University (Fraudulent Remuneration & Retrieval of Paid-Out Funds)**

A researcher at Waseda University instructed a research assistant to enter fictitious work details into the work management system. Then the researcher collected the salaries paid to the research assistant by the University in cash.

- **WASEDA University (Fraudulent Claim for Travel Expenses)**

A researcher at Waseda University received a subsidy for accommodation for his research trip from another institution other than the University. Nevertheless, the researcher invoiced his accommodation expenses (regulated maximum amount) without deducting the subsidized amount on the business trip system and received payment for the accommodation from the University.

- **University E (Vendor Deposits)**

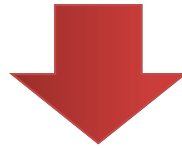
A researcher at University E prepared fictional purchase orders for consumables, paid for these orders from a grant-in-aid, and deposited the payment with the supplier to purchase research items different than those on the delivery receipts that the university received.

- **University F (Fraudulent Business Trips)**

A researcher at University F requested reimbursement of travel expenses for business trips. In fact, he had never made these trips, or the lengths and destinations of the trips he actually made differed from those on the forms he had submitted.

# Penalties for Violations of the Rules

- Receiving research funds through impropriety or falsehood
- Using received research funds improperly
- Committing misconduct such as misappropriating data from a paper



- Required to return all or part of your research funding
- Disqualified from applying for or receiving research funds for a certain period
- Universities may impose their own disciplinary measures

# Suspension of Application Eligibility for Violation of the Rules

- 1. If you receive a grant through impropriety or falsehood,**  
You and your conspirator will be disqualified from applying for any funds for the next 5 years.
- 2. Misuse of research funds**
  - **If you divert research funding for any private purposes,**  
you and your conspirator will be disqualified from applying for any funds for the next 10 years.
  - **If the misuse was for any non-private purposes,**  
you and your conspirator will be disqualified from applying for any funds for 1 to 5 years.
  - **Even when you have had no part in any misuse, if you fail to fulfill your responsibilities to properly manage research funds,**  
you will be disqualified from applying for any funds for up to 2 years.
- 3. If you have plagiarized a paper or committed any other misconduct for your paper,**  
You and persons responsible for the contents of the paper will be disqualified from applying for any funds for 1 to 10 years.

# Key Efforts of the University to Prevent Misconduct

## Established Charters, Rules, etc.

### Academic Research Ethics Charter

Attitude and code of conduct for the ethics in academic research activities

### Guidelines Regarding Academic Research Ethics

Specific guidelines on the proper discharge of researcher duties and research activities

### Rules for Preventive Measures against Research Misconduct and the Investigation Procedures

Rules for the prevention of misconduct of research and research funds and measures against improper activities

### Academic Research Ethical Review Committee

- Planning and implementation of training in academic research ethics
- Collection and analysis of information relating to academic research ethics
- Investigation into misconduct

### Investigation Committee

Submit Written Oath

## Research Promotion Division

- Collection, management and distribution of research information, building a system for accepting research funding and planning the promotion of research
- Application for research funding and support for its acquisition
- Formulation and implementation of measures to prevent misconduct pertaining to research funding
- Periodic investigation of the use of research funds
- Collaborative activities between industry, academia and government

### Seminar for Newly-Appointed Teaching Staff

### Waseda Research Portal

### Research Support System

### Research Ethics Training

Self Management Seminar for Faculty and Staff  
(Seminar on Academic Research Ethics)

Accounting Center  
(Acceptance Inspection Office)

Checks on delivery  
of goods, etc.

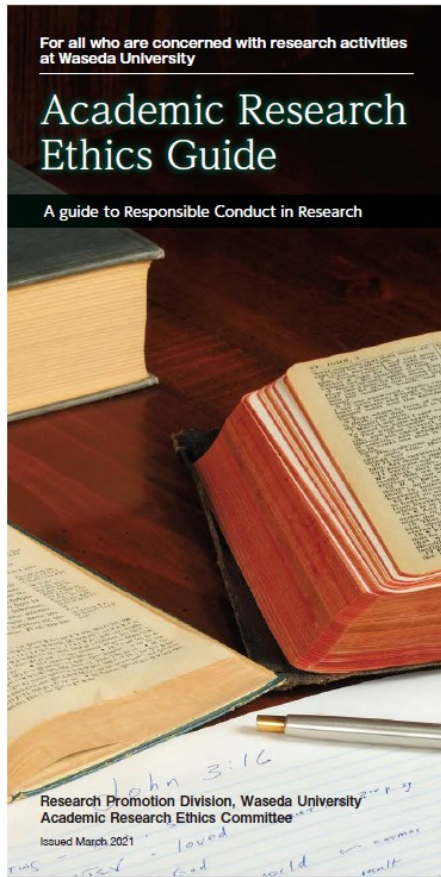
### Compliance Consultation Desk

Receiving reports on risks  
and  
violations of compliance  
(including  
research misconduct and  
the misuse of  
research funds)

Internal Audit Office

Periodic internal audits  
over public research funds

# Rules for Preventive Measures against Research Misconduct and the Investigation Procedures



- **Rules Governing the Prevention of Improprieties Involving Research and Research Funds**
  - **Establishment of Academic Research Ethical Review Committee**
  - **Implementation of training on research ethics**  
**Target: All researchers of the university**
  - **Submission of written oaths and implementation of training on the handling of public research funds**(→This seminar)  
**Target : All researchers using public research funds**  
**: People participating in the management of public research funds**



# Office of Research Ethics (Web)

<https://www.waseda.jp/inst/ore/>

Quick Link

お問い合わせ サイトマップ

Office of Research Ethics  
早稲田大学 研究倫理オフィス

Office of Research Ethics

研究倫理に関する理解を深め、適切な研究を遂行する

ニュース News	本学の研究倫理に係る取り組み Waseda University Research Ethics Measures	憲章・行動規範等 Charter/Code of Conduct	学術研究倫理委員会 Academic Research Ethical Review Committee	倫理審査に関する手続き Ethics Review Procedures	研究倫理科目・講習・情報公開 Research Ethics Courses and Lectures, and Disclosure of Information	利益相反マネジメント Conflict of Interest Management	学外の倫理規範 Code of Ethics
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**Contact the following URL or E-mail  
for any comments or questions.**



**Research Management Section,  
Research Promotion Division**  
(Secretariat of Academic Research Ethical Review Committee)

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