

Academic Research Ethics Guide

A guide to Responsible Conduct in Research



Types of misconduct that researchers must take great care to avoid

Misuse of Research Funds

Vender Deposits Asking the University to pay for a falsified transaction, and depositing the money in a vendor's pooled fund.

e.g. After asking a vendor to issue a false invoice and requesting payment from the University, the funds were managed by a vendor for another purpose.

Fraudulent Business Trip Requesting that the University pay for a falsified research related trip.

e.g. 1) The period of the trip became shorter than scheduled but the researcher did not submit a change of trip report, received accommodation fees and daily allowance as scheduled and did not return the unused balance.
2) Although purchasing a cheap air ticket, the researcher asked the vendor to bill for the regular price ticket and then padded the fare reimbursement request.

Fraudulent Remuneration Requesting that the University pay for rewards for falsified work.

e.g. Asking students in a lab to create false attendance records so as to request that the University pay labor costs, and then diverting the money to him/herself to use for some other purpose.

Denial of application eligibility related to improper use and/or fraudulent receipt of public research funds	
Cases where the researcher committed misconduct either alone or in collusion with a co-researcher and misused the funds for private purposes	▶ 10 years each
Cases where the researcher committed misconduct either alone or in collusion with a co-researcher and misused the funds for other than private purposes	▶ 1 to 5 years each
Cases where the researcher received funds fraudulently either alone or in collusion with a co-researcher	▶ 5 years each
Cases where the researcher was not involved in misconduct directly but did not fulfill his/her responsibility as the manager of research funds	▶ up to 2 years

Effective in FY2013, a researcher, even though not involved in misconduct, who did not fulfill his/her responsibility as the manager of research funds, shall be denied some degree of application eligibility. For large scale public research funds, in particular, researchers are required to fulfill their responsibilities for management by means such as establishing a system for mutual checking by co-researchers.

●Some sample cases of improper use or fraudulent receipt of public research funds are presented at the following URL.

<https://waseda.box.com/jireishu/>



Research Misconduct

Fabrication fabricating data or findings

e.g. Although the researcher did not conduct an actual experiment, he/she fabricated data and presented it as if it were the outcome of an experiment – and consequently there is no record for replication of the research.

Falsification Altering reports of research materials, equipment or process in order to falsify data or outcomes from research activities.

e.g. Since the outcome of an experiment was unsuccessful and the experiment was repeated but the outcome was still unsatisfactory, the outcome from a previous, separate experiment was used.

Plagiarism Taking another researcher's idea, method of analysis, data, research outcome, paper or terminology and using it as your own without consent or proper citation.

e.g. A supervising professor takes a part of a report presented by his/her student at a seminar, and presents it as his/her own work.

Other than the above, duplicate submission and inappropriate authorship that are highly deviated from the standard ethics in light of the code of conducts for scientists and a social norm are also considered misconduct in research activities.

Denial of application eligibility related to research misconduct (in the case of public research funds)	
Particularly malicious cases such as intentional misconduct from the beginning of the research	▶ 10 years
Malicious cases where the author is responsible for a paper or such in which misconduct was done and the social impact is significant	▶ 5 to 7 years
Somewhat malicious cases where the author is responsible for a paper or such in which misconduct was done and the social impact is not too significant	▶ 3 to 5 years
Malicious cases where the author was not involved in misconduct but is responsible for the paper or such and the social impact is significant	▶ 2 to 3 years

Code of Conduct and Rules Regarding Academic Research Ethics

To provide information relating to ethical behavior and the code of conduct to all who are concerned with research activities at Waseda University, the University has established "Waseda University Academic Research Ethics Charter" "Guidelines Regarding Academic Research Ethics," and "Rules for Preventive Measures against Research Misconduct and the Investigation Procedures.

Waseda University Charter for Academic Research Ethics

Enacted in March 9, 2007

The mission of Waseda University is to achieve a high ideal of academic research that conforms with its founding principles of Academic Independence and Enterprising Spirit. Specifically, the University wishes to contribute to human welfare and world peace through academic research. As such, academic researchers associated with the University shall make efforts to maintain its good tradition and constantly strive to improve themselves in accordance with a good conscience. Researchers will courageously tackle the challenges facing modern society while considering that academic research has a great influence on humanity, society, and the natural environment. The University guarantees that its academic research will not only be reliable and fair, but also free from unnecessary constraints. With regard to its assurances and social responsibility, this University declares that all researchers and those concerned with research activities shall conduct themselves by abiding by the following manners and principles so that society will trust and respect the University and its academic research.

- Through academic research, all members of the University will help to solve common problems that individuals face in society, such as those relating to human welfare and world peace.
- All members of the University will preserve human dignity, respect life, strive for harmony among people, society, and nature, protect the socially vulnerable, maintain the global environment, and positively work for the public interest.
- All members of the University will comply with international rules, domestic and foreign laws and regulations, University rules, the spirit of such rules, and social good sense. In addition, researchers will report their results in a timely and appropriate manner so that they can positively meet the demands of society.
- During cooperative academic research activities, all members of the University will respect human rights, protect personal information, make efforts to prevent any kind of harassment and discrimination based on nationality, sex, age or any other characteristic, and consistently cooperate with others to prevent such behavior.
- All members of the University will help to ensure cooperation in society and will appropriately manage all academic research.
- The University will strive to improve and maintain proper education and training in research ethics and the research environment while safely managing researchers so that no illegal activity occurs.

Guidelines Regarding Academic Research Ethics

Enacted in March 9, 2007

Guidelines Regarding Academic Research Ethics

https://www.waseda.jp/inst/ore/assets/uploads/2019/05/Guidelines-Regarding-Academic-Research-Ethics_e.pdf



—Excerpt—

4 Duties of Researchers

(1) Basic Matters

- 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.

(2) Management of Research Information and Research Equipment

- ① 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 leave the process in the form of research notes etc. in research activities such as experiments, observations and surveys. In the research note, it is necessary to describe sufficient information to be useful for use at a later date, such as logs of operations such as experiments and conditions of data acquisition, and to make it possible not to modify afterwards. Research notes should be properly kept as primary information records 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.

(3) Standard of Appropriate Publication and 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.

(4) Evaluating the Achievements of Other Persons (text omitted)

(5) Protection of Personal Information (text omitted)

(6) Prohibition of Harassment (text omitted)

Rules for Preventive Measures Against Research Misconduct and the Investigation Procedures

Enacted in April 6, 2007

Rules for Preventive Measures against Research Misconduct and the Investigation Procedures

<https://waseda.box.com/s/bu5oaojp6avud3wf48eiq37krnw5e7nc>



◆ Establishment of Academic Research Ethical Review Committee

- Planning and implementation of academic research ethics related publicity, training and education for researchers
- Collection and analysis of information related to academic research ethics
- Surveys related to misconduct by researchers

◆ Training and Instruction Regarding Research Ethics <https://www.waseda.jp/inst/ore/en/subject/>

- For faculty and staff: on-demand research ethics training
All researchers at Waseda University must take one of those courses as follows.

Courses

1) e-Learning Course on Research Ethics (eL CoRE) provided by Japan Society for the Promotion of Science

2) APRIN e-Learning Program (eAPRIN) "Responsible Conduct of Research"

- *Either of the above courses is mainly for the purpose of preventing misconduct in research activities.
- For students: establishment of a course on research ethics
A research ethics overview course is provided at the Global Education Center for graduate students and undergraduates in their third year and above who are about to start writing papers and conducting research, since as researchers they should know in advance the basic issues regarding research ethics.

◆ Preservation and Disclosure of Research Materials

- Waseda University stipulates the enforcement of regulations on the prevention of fraud related to research activities and responding to misconduct related to research activities and prescribes the preservation and disclosure of research materials, etc.
- As a general rule, the retention period of years of research materials etc. are as follows from the time the thesis are published
 - Research materials such as documents, numerical data, image, etc. 10years
 - Tangible objects such as experimental samples, specimens, device 5years

*Regardless of the above, it is also possible to set the specific retention period / preservation method in each place in consideration of the traits and shape of the research materials etc., the constraints of the storage place and the expenses required for preservation
Please also check the internal rules of the affiliated part.

◆ Submission of Written Oath

<https://www.waseda.jp/inst/ore/en/waseda-university-research-ethics-measures/submission/>

- Those who participate in the management of projects funded by public funding are required to submit the university-designated written oath to Waseda University.

Initiatives Toward the Prevention of Misconduct in Research Activities

◆ Formulation of Plan for Prevention of Misconduct Concerning Public Research Funds

The University has formulated a plan for the prevention of misconduct concerning public research funds to ensure the appropriate use of public research funds. Under this plan, each organization of the University appropriately manages projects funded by public funding in cooperation with other organizations.
URL: https://www.waseda.jp/inst/ore/en/rules/pmprf_en/



◆ Monitoring and Auditing of Public Research Funds

In accordance with the Guidelines for Management and Audit of Public Research Funds at Research Institutions (Implementation Standards) established by the Ministry of Education, Culture, Sports, Science and Technology (MEXT), the University manages and audits public research funds in cooperation with the relevant organizations as shown below in order to determine whether such funds are properly used and in line with their purposes.

- ① Organizations using public research funds (the first defense line): Monitoring the day-to-day use of public research funds
- ② Research Promotion Division (the second defense line): Managing and periodically monitoring the day-to-day use of public research funds
- ③ Internal Audit Office (the third defense line): Inspecting and assessing internal controls over the management and use of public research funds based on the results of the monitoring ① and ②

◆ Establishment of a Seminar on Academic Research Ethics

- For faculty and staff: on-demand seminar

In order to develop awareness of risks mainly related to research misconduct and misuse of public research funds and to share crisis consciousness and knowledge, on-demand content is provided at Waseda Moodle as one of the "Self-Management Seminar for Faculty & Staff".

◆ Publication of Academic Research Ethics Guide

The University annually publishes the Academic Research Ethics Guide (this guide) as part of the compliance education and awareness-raising activities required by the Guidelines for Management and Audit of Public Research Funds at Research Institutions (Implementation Standards).

Review System for Research and Experiments

Waseda University has established a system for the review of ethics related to research plans, and of experiment plans, so as to protect research subjects, and to set rules to ensure fairness and reliability in research.

Ethics Review Committee
for Research with Human Subjects

Committee for Genetic
Recombination Experiments

Committee for Animal Experiments

Biosafety Committee

In addition, the following management systems are provided to support secure conduct of research activities:

Conflict of Interest
Management

Conflict of Interest Management
Regarding Concurrent
Employment of R&D venture

Security Trade Control

Transferring of
Research Materials

(Research Management
Section)

(Research Management Section /
Research Innovation Center)

(Research Innovation Center)

Consultation Service for Queries Regarding the Use of Research Funds

The Research Promotion Division provides an online consultation for proper management of research funds for researchers and those who are concerned with research funds.

Compliance Consultation Desk

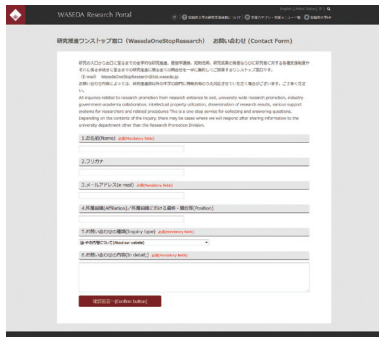
The compliance consultation desk receives, on behalf of Waseda, reports of violation of risk and offenses related to compliance (such as academic research ethics and harassment). Information on suspected misconduct in [research or misuse of research funds](#) is also received there.



<https://koueki-tshou.com/WFCxVtaEFdCd/en/>

Proper Management of Research Funds

Since we have opened a contact form (Waseda One Stop Research) on Waseda Research Portal and please use it. Replies to queries will be sent by e-mail.



<https://waseda-research-portal.jp/inquiry/>

Access for Information Related to Research Ethics

Waseda University Office of Research Ethics

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

This website provides information on the following: the Waseda University Academic Research Ethics Charter, the Code of Conduct, research ethics education, the University's research ethics measures, the Academic Research Ethical Review Committee's activities, and other relevant efforts.

Waseda University Research Innovation Center

• Security Trade Control (Japanese version)
<https://dpt-stc.waseda.jp/>

• Transferring of Research Materials
<https://www.waseda.jp/inst/research/en/tlo>

