For all those engaged in research at the University of Electro-Communications

Research misconduct and improper use of research funds are serious betrayals of trust that undermine confidence in academic research. Do not commit any misconduct!

What is misconduct in the course of research?

**Specified types of misconduct**

**Fabrication**
Making up non-existing data and research results

For example: A researcher makes up data which intentionally bends the theoretical curves, arranges them suitably, and presents the fabricated data as if they were actually obtained from an experiment. In addition, the researcher adds false descriptions which match the manipulated data in a laboratory notebook.

**Falsification**
Manipulating research materials, equipment, or processes in such a way that the data or research activities produce false or inaccurate findings

For example: An experiment undertaken by a researcher produces unsatisfactory results even when repeated several times, so the researcher makes a chart or graph from the data which is obtained by copy-and-paste the experiment results that are gained under various conditions.

**Plagiarism**
Appropriating another researcher’s ideas, analysis methods, data, research findings, papers, or terms without that researcher's permission or proper citation

For example: A supervisor uses a prominent analysis or chart from his/her student's seminar report in own publication without obtaining the student's permission.

Do not engage in this type of conduct, or condone or compel others to do so.

Preventing Improper Use of Public Research Funds

**What is improper conduct with regard to public research funds?**

- Improper applications for / receipt of public research funds
  - Applications for / receipt of public research funds based on false statements
  - Misappropriation of public research funds
  - Claims for travel expenses, honoraria, or salaries with no factual basis
  - Illicit procurement of goods or deposits to suppliers
  - Use of public research funds for unintended purposes
  - Deliberate manipulation of accounting periods (such as falsely declaring the purchasing of goods made in March to the following fiscal year)
  - Other contraventions of the rules and regulations of the funding body or UEC

**Notes when spending research funds**

- Inspect delivered goods and verify expenditure for travel, honoraria, and personnel
- Adhere to manuals provided for use of external grants
- Implement research projects in accordance with an appropriate spending plan
- Ensure when spending funds at the end of a fiscal year or research period (such spending may attract inspection of grant's budget depletion)
- For inquiries, consult the office in charge:
  - Applications and reporting external grants: Research Promotion Section, Research Promotion Office
  - Applications and reporting internal grants: Financial Section, Financial and Accounting Office
  - Purchase and delivery / inspection of goods and services: Financial Section, Financial and Accounting Office
  - Education and Research Project Support Section, Inspector Section for Procurement, Contract Section, Financial and Accounting Office
  - Travel expenses
    - Travel Expense and Reimbursement Section, Financial and Accounting Office
  - Budgetary control:
    - Financial Section, Financial and Accounting Office
  - Information Planning Section, Academic Information Office
  - Other:
    - Personnel Section, Personnel and Labor Affairs Office

How to Prevent Improper Use of Public Research Funds

**Be sure to inspect all delivered goods,**
- Demand suppliers to undergo a delivery inspection at the Financial and Accounting Office's Inspection Section for Procurement if they are seeking to deliver to a location other than the Section.
- If goods are delivered to your office or laboratory by parcel service outside regular office hours or on days of urgent, take them promptly to your departmental administration office for inspection.
- Request that parcel service delivers the goods to your departmental administration office and then inspect.
- Do not use goods until they have been inspected.
- Use cross-check delivered goods against the delivery statement when they are delivered.

**Be sure to substantiate all travel expense claims,**
- Submit a travel report within one week of returning from your trip.
- In the case of travel to attend research discussion meetings, but the names and affiliations of those you meet with in the travel report.
- In the case of travel for conferences, attach the conference abstract and documentation distributed at the conference to the travel application form.
- In the case of travel to universities, attach the itinerary receipt and unused ticket stubs to the travel report.

**Be sure to verify all honorarium payments,**
- Researchers should personally verify each instance of work undertaken.
  - If you are sent to a university, delegate another faculty member to verify.
- The person actually undertaking the work (student, etc.) should check the work log and bring it to the Travel Expense and Reimbursement Section, Financial and Accounting Office.
- The work undertaken produced concrete results, attach copies of results to the work log.

Other conduct considered as research misconduct

**Improper authorship**
Listing authors on a research paper those who do not desire to be named, or excluding those who desire to be named

**Duplicate submission or publication**
Producing two or more papers of substantially identical content and publishing them in different journals

The Ministry of Education, Culture, Sports, Science and Technology's guidelines on handling research misconduct have been amended. (New guidelines effective from April 1, 2015)

[Link to guidelines]

**Key amendments:**
- The guidelines apply to research activities covered by not only competitive external grants, but also all the research funds (including research money funded by the university).
- Researchers, research collaborators and students are required to undergo research ethics education periodically.
- Principal investigators are required to monitor the entire research project and verify research findings appropriately.
- University managerial responsibility is emphasized. Penalties such as deduction of indirect research budget shall apply if measures to prevent misconduct are found to be inadequate.

The Japan Society for the Promotion of Science has produced a booklet titled “For the Sound Development of Science - The Attitude of a Conscientious Scientist.” (Text version)

[Link to booklet]

Preventing Research Misconduct

1. Research ethics education
   In the 2015 academic year, UEC began introducing the CITI Japan Research Ethics e-learning materials, and made ethics education mandatory for all researchers and students.

2. Plagiarism detection and originality verification tool
   iThenticate
   As one step toward prevention of misconduct, we have resolved to use the iThenticate tool for these defenses.

3. Pledges
   We urge all researchers to submit a pledge concerning matters all the researchers must comply with, such as compliance with regulations, proper conduct in research and use of research funds, and preservation and disclosure of research data.

4. Preservation of research records
   It is only through rigorous evaluation by peers that research findings become accepted. In order to enable other researchers to reproduce experiments and assess research findings, it is essential that researchers produce experiment data and research notes, and keep a record of their research for a certain period of time.

5. Referencing rules
   New discoveries are built on the findings of prior research. When referring to the work of others, researchers need to be respectful and provide citation details in accordance with the rules.

How to detect misconduct

- **Contact for complaints** (All but anonymous complaints are accepted)
  - Whistleblowing Reporting Office: Head of General Affairs Office
  - Address: 1-5-1 Ohashi, Chiyoda-ku, Tokyo 101-8405
  - Telephone: 03-4385-5011, Fax: 03-4385-5010
  - E-mail: info@office.uec.ac.jp
  - Office Hours: 09:00-17:00, weekdays

When misconduct is confirmed

Misconduct with regard to public research funds results in penalties and punishments, and the loss of society's trust.
- Long-term suspension of eligibility to apply for research grants (2-5 years in the case of Grants-in-Aid for Scientific Research)
- Suspension from carrying out research (5 years' imprisonment or a fine of one million yen (subject to the Subsidy Bureation Rationalization Act))
- Penalties such as disciplinary dismissal, reduction of salary, and official reprimand
- Publication of investigation findings, including perpetrators' names

The University of Electro-Communications

For all those engaged in research at the University of Electro-Communications

Guidelines for Research Misconduct Measures

Research Ethics

The University of Electro-Communications