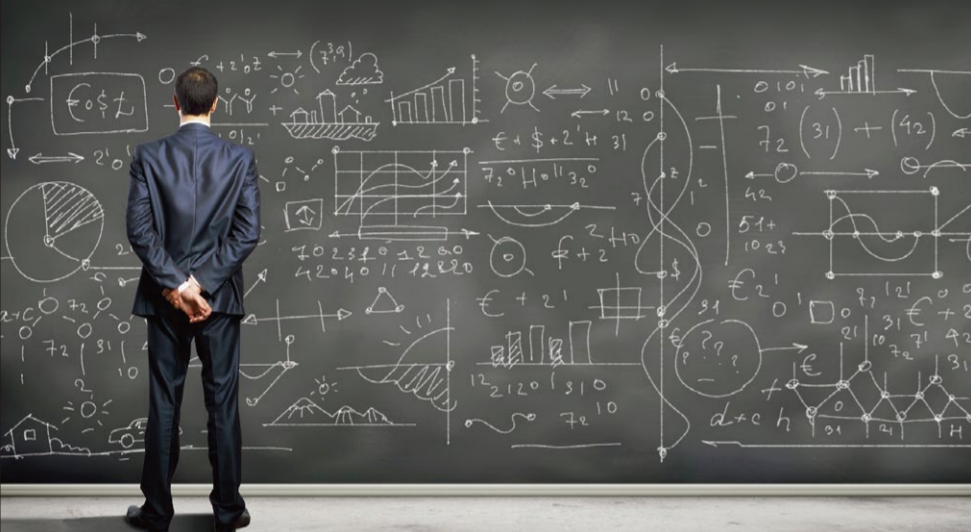


# For all those engaged in research at the University of Electro-Communications

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 fits theoretical curves, arranges them suitably, and presents the fabricated data as if they were actually obtained from an experiment. In addition, the researcher adds some descriptions which meet the manipulated data to 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 by 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.

### Other conduct considered as research misconduct

#### Improper authorship

Listing authors on a research paper those who do not deserve to be named, or excluding those who deserve 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)

[http://www.mext.go.jp/a\\_menu/jinzai/fusei/1359618.htm](http://www.mext.go.jp/a_menu/jinzai/fusei/1359618.htm)

#### 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 reduction 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)

[https://www.jsps.go.jp/j-kousei/data/rinri\\_e.pdf](https://www.jsps.go.jp/j-kousei/data/rinri_e.pdf)

## 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 thesis defenses.

### 3 Pledges

We require 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.

## 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

#### Misuse of public research funds

- Claims for travel expenses, honoraria, or salaries with no factual basis
- Fictitious procurement of goods or deposits to suppliers
- Use of public research funds for unintended purposes
- Deliberate manipulation of accounting periods (such as falsely delaying declaration of purchases made in March to the following fiscal year)
- Other contravention 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
- Beware when spending funds at the end of a fiscal year or research period (such spending may attract suspicion of gratuitous 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
    - .....Education and Research Project Support Section, Inspection Section for Procurement, Contract Section, Financial and Accounting Office
  - Travel expenses and honoraria
    - .....Travel Expenses and Reward Section, Financial and Accounting Office
  - Book Purchase
    - .....Information Planning Section, Academic Information Office
  - Employment
    - .....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 in cases of urgency, take them promptly to your departmental administrative office for inspection.
- Request that parcel service deliveries be made to your departmental administrative office whenever possible. (Specify the departmental administrative office as the addressee)
- Do not use goods until they have passed inspection.
- Be sure to 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, list the names and affiliations of those you met with on 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 by airplane, attach the airfare receipt and used 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 out of office, 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 Expenses and Reward Section, Financial and Accounting Office.
- If the work undertaken produced concrete results, attach copies of results to the work log.

The Ministry of Education, Culture, Sports, Science and Technology's Guidelines for the Management and Auditing of Public Research Funds have been amended (only in Japanese).

[http://www.mext.go.jp/a\\_menu/kansa/houkoku/1343904.htm](http://www.mext.go.jp/a_menu/kansa/houkoku/1343904.htm)

Under the amended guidelines, it is mandatory for universities and researchers to:

- Provide education to prevent misconduct and manage attendance
- Obtain pledges from researchers and suppliers
- Publish all findings of investigations into misconduct, including the names of those involved
- Conduct inspections to verify provision of special services (such as program development)
- Implement a risk-based auditing approach (auditing focused on dealings considered to involve particularly high risks)

### If you detect misconduct

Contact for complaints:  
(As a rule, anonymous complaints are not accepted)

Whistleblowing Reporting Officer: Head of General Affairs Office  
Address: 1-5-1 Chofugaoka, Chofu-shi, Tokyo 182-8585  
Telephone: 042-443-5011 Fax: 042-443-5010  
E-mail: notice-info@office.uec.ac.jp  
Office hours: 9:00 a.m. to 5:00 p.m. 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)
- Reimbursement of direct and indirect research budgets to the funding body
- Maximum of 5 years' imprisonment or a fine of one million yen (pursuant to the Subsidy Budget Rationalization Act)
- Penalties such as disciplinary dismissal, reduction of salary, and official reprimand
- Publication of investigation findings, including perpetrators' names

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

## Guidelines for Research Misconduct Measures

The University of Electro-Communications

