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Behavioral Criteria for Researchers at Kyushu University

1. Basic Principle

All researchers who are engaged in research at Kyushu University, including faculty members and students, must remain aware that they are members of Kyushu University, which is a hub for research, creation and the evolution of greater knowledge, in accordance with the Kyushu University Research Charter, and must do their utmost to conduct their research activities in a manner that reflects society's trust and expectations, following conscience and common sense.

2. Basic Responsibilities and Attitudes of a Researcher

- (1) A researcher takes pride as a researcher and remains aware of the mission.
- (2) A researcher never engages in illegal behavior such as forgery, manipulation or plagiarism, nor in the misuse of research funds or the tacit approval of misuse, and is of course never complicit in misuse.
- (3) A researcher observes all laws and related regulations when conducting research activities and using research funds.

3. Behavioral Rules to Observe when Conducting Research Activities

Researchers shall observe the following criteria in order to maintain research activities and create a proper research environment.

- (1) A researcher must maintain an awareness that the achievements and supporting data generated through research activities at Kyushu University are not personal possessions of the researcher, but public property. The researcher must also ensure proper management and instructions concerning records and storage of such data in line with the guidelines formulated in accordance with Paragraph 3 of Article 3 of the "Regulations for Appropriate Research Activities in National University Corporation Kyushu University (General Regulations for Employment of National University Corporation Kyushu University No.14 of 2009)."
- (2) When conducting joint research, an individual researcher must clarify their respective roles and responsibilities, and a research representative who is in a position to understand and manage the entire research project must properly confirm its contents and achievements from time to time.
- (3) When publishing research achievements (papers), behaviors that are considered misconduct include improper authorship, where someone not qualified as an author is included as an author, or when someone qualified is not included as an author, and double submissions, where a paper that has essentially the same contents as one that has already been published or submitted to another academic journal is submitted as an original paper, regardless of the print or electronic media used. A researcher must pay due attention to the submission rules of the research community and each academic journal.
- (4) Concerning industry-academia collaborations, if a researcher is engaged in research that may generate a conflict of interest, he/she must clarify which organization bears the primary responsibility for the research and manage research achievements in a proper manner.
- (5) A researcher must act in accordance with research ethics. During a peer review process for a paper, the researcher must not be unreasonably critical or intentionally postpone the process. Also, during the assessment process for competitive funds, if a judge has a relationship with an applicant that may influence the assessment, that judge must voluntarily recuse himself/herself from that case.

Education by e-Learning

Kyushu University conducts research ethics education so that researchers can learn about the ethical codes they are expected to follow. The University also offers compliance education to help researchers understand usage rules for research funds and measures that are taken to prevent misconduct.

Researchers must take the e-learning course. For details of who should take the course and how, please check the following website:

<http://www.kyushu-u.ac.jp/ja/research/ethics/propulsion/>

Kyushu University Website > Research/Industry-Academia-Government-Private Collaborations > Research Ethics/Life Ethics > Promotion of Proper Research Activities > Implementing research ethics education and compliance education

Consultation/Reporting Window

The following office accepts consultations and reports of misconduct in research activities:

Secretariat: Industry Collaboration Planning Office, Research Planning Division

TEL.092-802-2323 E-mail kenkyurinri@jimukyushu-u.ac.jp

Department: Administration Office of each department

※ Please refer to the following website for contact information for each department's administration office and the University's initiatives to promote proper research activities.

[Promotion of proper research activities]

<http://www.kyushu-u.ac.jp/ja/research/ethics/propulsion/>

Consultation Window for Research Fund Use

Secretariat: Finance and Planning Division, Finance Department

TEL.092-802-2337 E-mail zassyosa@jimukyushu-u.ac.jp

Department: Administration Office of each department

※ Please refer to the following website for contact information for each department's administration office and related information on using research funds.

[Related information on using research funds]

<http://kenkyuhi-in.jimukyushu-u.ac.jp/> (on-campus use only)

Reporting Window for Information on Research Fund Misuse

Legal Affairs and Compliance Division

TEL.092-802-6648 E-mail tuho@jimukyushu-u.ac.jp

Consultation Window for Conflict of Interest

Industry Collaboration Planning Office, Planning Section

TEL.092-802-5064 E-mail snsrenkei@jimukyushu-u.ac.jp

九州大学
KYUSHU UNIVERSITY

Guide for Research Ethics

Behavioral Criteria for Researchers and other Related Matters

Promotion Committee for Proper Research Activities, Kyushu University

To all researchers

All researchers affiliated with Kyushu University are required to promote proper research activities. Misconduct cannot be justified for any reason, as it not only threatens the researcher's livelihood, but could shake public confidence in the University and the government.

This guide explains the behavioral criteria required to ensure ethical research activities. Please read the guide carefully to prevent misconduct resulting from misunderstandings, and to understand how to conduct ethical research activities.

April 2019
Inoue Kazuhide,
Executive Vice President in Charge of Research



Basic Principles of Kyushu University (Excerpt) [Kyushu University Research Charter]

Article 1 (Purpose)

Kyushu University has established this Charter of Research in order to promote research activities that will contribute, as a foundation for the pursuit, creation and development of better knowledge, to mankind and society.

Article 2 (The Role of Research)

- (1) As the highest seat of learning, Kyushu University, with a sincere respect for the long tradition of the pursuit of truth by mankind and for the wisdom realized therein, shall carry out its mission of handing down this basic attitude to future generations.
- (2) Kyushu University shall also recognize its role as an institution that produces advanced and globally recognized knowledge by developing perspectives from basic research in the various fields of culture and science.

Article 3 (The Concept of Research and its Ethical Character)

- (1) While respecting tradition and the pursuit of wisdom therein, Kyushu University shall endeavor to deepen and develop knowledge that meets the needs of contemporary society.
- (2) Kyushu University shall ascribe the highest value to creative and original research and pay the utmost respect to academic freedom and the autonomy of researchers.
- (3) Kyushu University shall endeavor to establish harmony between the pursuits of wisdom and scientific knowledge while pursuing practical values in various academic fields.
- (4) While paying constant attention to the possible influences of science on the natural environment and the survival of human beings, Kyushu University shall endeavor, in according with good conscience and common sense, to promote research activities that respect human life and dignity.

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Responsibilities of Researchers

A researcher must comply with the behavioral criteria that the University prescribes for researchers and related regulations, and must conduct research activities ethically.

Storage and Disclosure of Data

A researcher must store research data for a fixed period and disclose the data when necessary.

Budget Management

A researcher is obliged to manage the allocated budget and handle administrative work involving finance and accounting with a good manager's duty of care.

Management of Purchased Goods

Researchers are obliged to make effective use of purchased goods and manage them with a duty of care. Disposal of, transfer, lending or donating to other institutions, as well as being transferred from, requires the approval of the department Director.

Guidelines for Research Data Storage

Research data to be stored
Laboratory notebooks, numerical data, images, specimens and devices (research data, etc.) that serve as evidence of papers, reports and research achievement presentations

Research data manager (subject of an action)
Research data must be stored and managed by the researcher who created it in a responsible manner. (Prescribed periods are applicable in case of transfer or for other reasons.)

Storage method
Data must be stored in the proper format so that it can be used or verified at a later date. (Be sure to include the creator's name, creation date and attributions, and to prepare a search function.)

Storage period

- Storage period of materials (laboratory notebooks, numerical data, images, etc.) → **10 years after the publication of the concerned papers as a general rule**
- Storage period of articles (specimens, including experiment specimens and samples, devices, etc.) → **5 years after the publication of the concerned papers as a general rule**

Research Data Storage and Management at Each Faculty

Data should be stored and managed in accordance with the rules of each faculty.

Caution regarding research paper submission

In recent years, there has been a problem with the existence of malicious journals that aim to earn APC of Open Access without conducting proper peer review and quality control to be considered academic journals.

The method of publishing a paper should be determined by each researcher at his/her own risk. However, since the selection of an easy-to-publish journal may cause doubts about the research results of the researcher, careful consideration is required in how to release research results, for example, by checking the journal's registration in a treatise database (Scopus etc.)

Misconduct in Research Activities

Misconduct refers to the following behaviors when conducting research activities (except those that have been clearly proven by evidence to be unintentional).

Forgery

Creating artificial data or research results.

Example: A researcher created non-existent experimental data and used it in a paper which was presented by using Grants-in-Aid for Scientific Research.

Manipulation

Altering research materials, devices or processes to manipulate the results obtained by data and research activities.

Example: A researcher manipulates the data obtained from an experiment to represent something that is untrue yet convenient for his/her purposes.

Plagiarism

Misappropriating ideas, analytical methods, data, research results, papers or terms from other people without their approval or without proper indication of reference.

Example: A researcher used images from another researcher's paper as experimental data for his/her own paper, without citing any reference or obtaining permission.

⊗ **Others** False descriptions or behavior that could be described as forgery, manipulation or plagiarism.

⊗ Destroying evidence or blocking verification of the above behavior.

※ In addition to the above, behavior such as improper authorship and double submissions can constitute misconduct.

Improper Authorship
Including a person who is not qualified as an author, or excluding a person who is qualified as an author, on the author list of a research paper.

Double Submissions
Submitting a paper that has essentially the same contents as one already published or submitted to another academic journal as an original paper.

Misuse of Research Funds

False Compensation (Payment/Salary)

This refers to a researcher submitting false documents (such as attendance sheets) to the University in order to have the University pay compensation (payment/salary), although the described work has not actually been done. Even in cases where a payment is properly made based on actual work done, any misappropriation where a part or all of the payment is reclaimed by a lab is considered to be misconduct.

Example: A researcher claims payments under the pretense of paying a student under his/her instructions for data entry work that was actually done by the researcher himself/herself.

Bogus Business Trips and Padded Travel Expenses

This refers to a researcher submitting false documents (such as a business travel report) for a trip that was never made, and filing a claim for travel expenses based on this falsehood. Padded travel expense charges are also considered misconduct, if unnecessary travel expenses are claimed.

Example: Despite cancelling the business trip, a researcher fraudulently claims and obtains travel expenses for it by submitting a false travel report.

Fictitious Orders, Tampering with Documents and Deposited Money

This refers to a researcher submitting fictitious documents (such as invoices) in order to have the University pay for goods, although no such goods were actually delivered. In addition to this, tampering with documents in ways such as changing order items from the actual delivery items and having a supplier manage the money brought in by fictitious orders of goods also constitute misconduct.

Example: A researcher conspires with a supplier to place a fictitious order, and has the University pay for a delivery that was never completed.

※ In addition to the above, the following behaviors constitute misuse of research funds: use of research funds for a purpose other than that they were intended for, whether by intention or due to gross negligence, or use in violation of the contents or accompanying conditions of the decision to provide the research funds.

Punishments

For misconduct or misuse, a researcher will be subject to serious punishment.

Punishment of Individuals

A researcher will be banned from receiving competitive funds for a fixed period by the fund-allocating organization (such as MEXT).

Misconduct in Research Activities

- A researcher with particularly malicious intent, such as one who intended to engage in misconduct from the start of research → **10 years**
- An author of a paper related to research where misconduct occurred → **2-7 years**
- An author who was not involved in misconduct but who was responsible for a paper related to research where misconduct occurred → **1-3 years**

Misuse of Research Funds

- A researcher who has committed misuse, and any conspiring researcher (private misappropriation for personal profits) → **10 years**
- A researcher who has committed misuse, and any conspiring researcher (misuse other than private misappropriation) → **1-5 years**
- A researcher who has received competitive funds via falsifications or other improper measures, and any conspiring researcher → **5 years**
- A researcher who used funds in violation of a good manager's duty of care, although he/she was not directly involved in misuse → **Max. 2 years**

A researcher may be subject to disciplinary dismissal, dismissal under instruction, or suspension from work according to the University regulations.

A researcher may be subject to legal action, such as criminal or civil action, when highly malicious intent is found in the misconduct.

A researcher will assume financial responsibility for losses when he/she, whether intentionally or by gross negligence, inflicts a loss on the University (responsibility for compensation).

※ When misconduct is confirmed, the individual name of researcher involved in the misconduct and details of the misconduct may be publicly revealed.

Punishment and Influence on the University

- The University may be subject to a reduction in overhead expenses or suspension of competitive funds allocation when there is a deficit in the system.
- An enormous amount of time and money will be spent during the investigation.
- Social trust in the University will suffer.