

Promoting Research Integrity Regulations of Kyoto University

(Purpose)

Article 1

The purpose of these regulations is to set forth necessary matters regarding promotion of Research Integrity by Faculty and Staff, etc. and to strictly and appropriately deal with any actual or suspected research misconduct at Kyoto University (hereinafter referred to as “KU”).

(Definitions)

Article 2

1. In these regulations, “Faculty and Staff, etc.” refers to Members of the Board, faculty and staff members, students, and any of those who conduct research activities at KU.
2. In these regulations, “Faculty and Staff” refers to those employed pursuant to the rules of employment set forth by KU.
3. In these regulations, “Students” refers to: 1) undergraduate and graduate students, 2) individuals as defined in Chapter 5 of the General Regulations of Kyoto University (Order 3 of 1953), including, but not limited to, international students, commissioned students, credited auditors, auditing students, special auditing students, special research students, and special exchange students, 3) individuals as defined in the In-service Training Regulations of Kyoto University (Order 3 of 1949), including, but not limited to, research students and research fellows, and 4) other individuals who are either attending or enrolled at KU, or whom KU has accepted to engage in study or research.
4. In these regulations, “Research Misconduct” refers to any of the following acts committed by Faculty and Staff, etc. of KU in the course of their research activities (including writing of research papers in learning), provided that such acts are committed willfully or through gross negligence of the primary duty of care that should be understood by Faculty and Staff, etc.:
 - (1) Fabrication: Making up research data or results, etc., recording thereof, or using thereof in research reports, in research papers, or in other forms;

- (2) Falsification: Manipulating of research materials/equipment/processes, and writing or publishing of research report, research papers, etc, based on the data or the results that have been altered or falsified by such manipulation;
- (3) Plagiarism: Appropriating other researchers' ideas, analytical methods, research results, research papers, or words without obtaining the permission of the researchers or giving appropriate credit.
5. In these regulations, "Research Integrity Education " refers to the education for Faculty and Staff, etc. to learn the requisite ethical standards in science for responsible research activities.
6. In these regulations, "Departments" refers to graduate schools, research institutes, Kyoto University Library, Kyoto University Hospital, centers, as defined in Chapter 3, Sections 7 -11 of the Regulations for the Organization of National University Corporation Kyoto University (Order No. 1 of 2004 hereinafter referred to as the "Organization Regulations"), except the Kyoto University Library Network from the organizations as defined in Article 47, Paragraph 1 of the Organization Regulations), and administration offices of each faculty, school and institute (as defined in Article 52, Paragraph 1 of the Organization Regulations), the departments of the Administration Bureau, and administration offices.

(Administrator)

Article 3 An Executive Vice-President in charge of research (hereinafter referred to as "Executive VP in Charge") shall preside over the promotion of research integrity at KU, and in the event of a research misconduct or suspected one, shall strictly and appropriately deal with it in cooperation with other relevant Executive VPs.

(Departmental Chief Research Integrity Officer)

Article 4

1. Each Department shall have a Chief Research Integrity Officer who presides over the promotion of research integrity in the Department, implements Research Integrity Education, and develop the Department's Implementation System. Such position shall be appointed by the head of the Department.(e.g. the Executive VP in Charge shall be the Chief

Research Integrity Officer in the Administration Bureau; the same shall apply below).

2. Each Department, if deemed necessary, may have a Deputy Departmental Chief Research Integrity Officer.
3. A Deputy Departmental Chief Research Integrity Officer shall be appointed from among Faculty and Staff of the Department by the Departmental Chief Research Integrity Officer.
4. In the case of appointing a Departmental Deputy Chief Research Integrity Officer, the Departmental Chief Research Integrity Officer shall stipulate such officer's authority and responsibilities, notify such officer's name, such stipulated authority and responsibilities to Faculty and Staff, etc. of the Department, and report same to the Executive VP in Charge.
5. If Departmental Chief Research Integrity Officers deem it necessary, relevant Departments may discuss among themselves and engage in a joint promotion of research integrity.

(Responsibilities of Supervisors, etc.)

Article 5

1. Those in positions of responsibility for supervising or guiding Faculty and Staff, etc. (hereinafter referred to as "Supervisors, etc.") shall provide necessary guidance for such Faculty and Staff, etc. regarding promotion of research integrity.
2. In the case of a joint research project involving a number of researchers, the Principal Investigator shall clarify the role and responsibility of each researcher, and shall make efforts to appropriately grasp the whole aspects of such research project.

(Responsibilities of Faculty and Staff, etc.)

Article 6

1. Faculty and Staff, etc. shall conduct responsible research activities with a high degree of morality and self-discipline.
2. Faculty and Staff, etc. shall observe these regulations and follow the guidance of Departmental Chief Research Integrity Officers., or of Supervisors, etc. based on these regulations, and shall cooperate in investigations as stipulated in Article 9, Paragraph 2.

(Preservation of Research Data)

Article 7

1. Faculty and Staff, etc. shall preserve research data in an appropriate manner for a specified period, and shall disclose such data as necessary.
2. Any other necessary matters regarding preservation and disclosure of research data shall be specified by the Executive VP in Charge.

(Research Integrity Committee)

Article 8

1. Research Integrity Committee (hereinafter referred to as “Committee”) shall be formed under the Executive VP in Charge to do the tasks regarding the promotion of research integrity as defined in the following paragraphs.:
 - (1) Formulate and improve the policies to promote research integrity;
 - (2) In cooperation with relevant Departments, devise measures to curb factors that potentially lead to research misconduct;
 - (3) Any other necessary matters for promotion of research integrity.
2. The Committee shall comprise the following members:
 - (1) Executive Vice-President in Charge;
 - (2) Executive Vice-President or the Vice Presidents appointed by the President;
 - (3) Deans of the graduate schools
 - (4) Directors of research institutions
 - (5) Directors of centers appointed by the President (only a few)
 - (6) Director of the General Affairs Department;
 - (7) Director of the Education Promotion and Student Support Department;
 - (8) Director of the Research Promotion Department;
 - (9) Others whose representation is deemed necessary by the President
(only a few)
3. A Chairperson and a Vice Chairperson shall be appointed.
4. The Executive VP in Charge shall assume the chairperson, and a vice chairperson shall be appointed by the chairperson from among the members stipulated in Paragraph 2, Items 2 - 5 and in Item 9.
5. Research Integrity Promotion Committee shall be formed in the Committee to make and implement concrete plans of the promotion for research integrity.

6. Matters necessary for the organization and the management of the Committee and the Research Integrity Promotion Committee, other than those stipulated in the above paragraphs, shall be specified by the Committee.

(Investigative Committee of Research Integrity)

Article 9

1. Investigative Committee of Research Integrity (hereinafter referred to as “Investigative Committee”) shall be formed under the Executive VP in Charge, to conduct investigations as set forth in the following paragraph in the case where research misconducts are actually or allegedly engaged in by Faculty and Staff, etc.
2. In the event of receiving an allegation as defined in Article 11, the Investigative Committee shall conduct necessary investigations into the research misconduct regarding such allegation
3. Necessary matters regarding the Investigative Committee and investigations shall be specified by the President.

(Contact Point)

Article 10

1. A Contact point shall be set up within the Research Promotion Division of the Research Promotion Department and within each Department to handle allegations and consultations about allegations (a consultation is the one that has not reached the stage of allegation; hereinafter referred to as “Consultation”) with regard to research misconduct at KU.
2. Faculty and Staff of contact points shall not be involved in cases where they have a conflict of interest with regard to the allegation.
3. Faculty and Staff of contact points, when receiving an allegation shall take proper measures to protect the confidentiality of the contents and the complainant, such as by ensuring that the information are not heard or seen by persons other than the staff handling allegations.

(How to Make Allegations)

Article 11

1. In principle, allegations shall be made in writing (including fax and email; the same shall apply below) and handed in or sent to a contact

- point.
2. In principle, written allegations stipulated in the preceding paragraph shall be non-anonymous and clearly indicate the following matters:
 - (1) Names of members of Faculty and Staff, etc. or groups suspected of research misconduct ;
 - (2) Specific description of the alleged research misconduct;
 - (3) Scientifically rational reason for considering it as research misconduct.
 3. If some or all of the statement concerning the items listed in the preceding paragraph are flawed, the contact point may instruct that the written allegation be corrected.
 4. Upon receipt of an allegation, a contact point shall immediately report such receipt to the Investigative Committee, and shall notify the person who made such allegation (hereinafter referred to as“ Complainant” except for anonymous Complainants) that such allegation has been received.
 5. If a contact point receives an allegation that refers to a person(s) who belongs to other organization than KU (hereinafter referred to as “Other Organization”), or the allegation doesn’t correspond to KU, and if the Executive VP in Charge deems it necessary to forward the allegation to the Other Organization which the person belongs, or to Other Organization that needs to investigate such allegation, the contact point shall forward it to Other Organization; provided however, that if the contents of the allegation doesn’t correspond to KU, the contact point shall notify the complainant in advance as to the Organization(s) to which such allegation will be forwarded and other necessary matters, and shall obtain his or her consent.
 6. Other than cases as set forth in Paragraphs 1 and 2, if any research misconduct is suspected by the media, any academic society or Other Organization(s), and if matters stipulated in Paragraph 2 are specified, the Investigation Committee may deem that an allegation as defined in Paragraph 1 has been made and may conduct an investigation as set forth in Article 9, Paragraph 2.

(Method of Consultation about Allegations)

Article 12

1. Consultation about allegations shall be made to a contact point in writing , by telephone, or in person.
2. In the case of consultations as described in the preceding paragraph, a contact point, if deemed necessary, may confirm the intention of the allegation with the person who has made such consultation (hereinafter referred to as “Consulter”) , or may treat the case in a similar way as if an allegation has been made.

(Dissemination of Allegation Processing System, etc.)

Article 13

The Executive VP in Charge shall disseminate the information regarding contact points, methods of allegation and other necessary matters throughout KU and to Other Organizations.

(Confidentiality)

Article 14

Faculty and Staff of contact points and those who are involved in investigations in research misconduct shall not disclose any confidential information they may know in the course of their duties.

(Measures to Prevent Recurrence of Research Misconduct)

Article 15

The Executive VP in Charge, if deemed necessary, shall require Departmental Chief Research Integrity Officers or the Committee to take measures to prevent a recurrence of research misconduct.

(Disciplinary Action)

Article 16

1. If any member of Faculty and Staff, etc. is found to have engaged in research misconduct, the President may take disciplinary action , approving the assessment of disciplinary action, issue warnings or take other measures under the regulations of KU.
2. The provisions as stipulated in the preceding paragraph shall also apply to Supervisors, etc.

(Legal Action)

Article 17

If any member of Faculty and Staff, etc. is found to have committed research misconduct, KU may require such person(s) to make compensation for damages to KU and, if necessary, may take legal action against such person(s) under civil or criminal law.

(Measures against Allegation made with Malice)

Article 18

In the case where it is determined that specific research misconduct did not take place as a result of the investigation as defined in Article 9, Paragraph 2, and finds that such allegation of research misconduct has been made for the purpose of generating a wrongful gain for the Complainant, causing some kind of harm to others, or any other wrongful purposes (“Malice” described in Article 20), KU may take legal action against such Complainant under civil or criminal law.

(Response to Measures by Funding Agencies)

Article 19

1. If any Funding Agency (organization that allocates funds for the research related to the allegation) takes measures to reduce indirect cost of the grants or other costs due to research misconduct committed at the Department, the President shall take necessary measures against such Department.
2. In the case of taking necessary measures as described in the preceding paragraph, depending on such measures, prescribed procedures of KU shall be followed.
3. In the case as described in Paragraph 1 of this Article, the President shall make efforts to ensure that such measures will not affect the research activities of Faculty and Staff, etc., and educational/ research activities or the environment of the students in the Departments that are not involved in such misconduct.

(Prohibition of Disadvantageous Treatment)

Article 20

1. KU and Faculty and Staff, etc. shall not disadvantage Complainants or Consulters on the grounds that he or she brought an allegation to the

contact points of KU. However, this shall not apply if the Complainant is deemed to have made an allegation with Malice.

2. KU and Faculty and Staff, etc. shall not disadvantage Respondents , just because an allegation was brought.

Article 21

Other than those set forth in these regulations, any matters necessary for implementation of these regulations shall be specified by the Executive VP in Charge.

Supplementary Provision

These regulations shall be effective from March 1, 2015. However, the revised provisions in Article 7, Paragraph 2 shall be effective from the date specified by the Executive VP in Charge based on the provisions of said paragraph.

Supplementary Provision (Order No. 31 of 2015)

These regulations shall be effective from April 1, 2015

※The original Japanese text of regulations has effect, and this translation is to be used solely for reference.