

# 上智大学学術研究倫理に関するガイドライン Sophia University Guidelines for 'Academic Research Ethics'

Enacted 1 January 2010

Amended 1 November 2017

## Introduction

Founded by the Society of Jesus, Sophia University (hereinafter as 'the University') has centered its investigation of truth on academic pursuits and conducted research activities that contribute to cultural progress and human welfare based on the spirit of Catholicism.

In recent years, the complexities of various issues facing society have been exacerbated by the upheavals brought about by globalization and increased diversity. At the same time, the interdisciplinary natures of academic research fields as well as the roles they play in society have also become more complex.

Academic freedom entails respect for the autonomy of Researchers in their research activities as well as their right to investigate the truth. However, high ethical standards are also required of Researchers because of the considerable influence their research activities and the findings thereof bring to bear on humanity, society and the environment.

Sophia University hereby establishes the following Guidelines for Academic Research Ethics (hereinafter as 'the Guidelines') in order to promote the sound development of academic research at the University and harmonious coexistence with society.

## (Purpose)

Article 1 The purpose of the Guidelines shall be to ensure the reliability and fairness of academic research conducted at the University. The Guidelines shall establish the basic ethical policies for research activities.

## (Subject)

Article 2 'Researchers', (or 'Researcher'), the subject of the Guidelines, besides faculty members and research associates of the University, shall include anyone engaged in research activities at the University. Students shall also be treated as Researchers under the Guidelines when they engage in research activities.

## (Duties of the University)

### Article 3

(1) The University shall take necessary measures to increase awareness of research ethics and to prevent misconduct in research activities and in the handling of research funds, concerning the research activities and the appropriate management in research funds.

(2) If and when an inappropriate act is deemed to have been committed while research activities are carried out, the University shall promptly determine its cause and take appropriate remedial measures as well as fulfil its responsibility of explaining the matter to those concerned both within and outside the University.

## (Duties of Researchers)

### Article 4

#### 1. Prevention of misconduct in academic research

As a matter of course, Researchers shall not commit or be complicit in the committing of forgery, falsification or plagiarism in any aspect of research activities. Additionally, they shall be thorough in the recording, storage and proper handling of data obtained in their investigations. Researchers shall also strive to create a research environment that is conducive to the forestalling of misconduct.

Those who are in the position of supervising research shall manage the research activities and attend to the Researchers under their supervision in order to prevent misconduct.

#### 2. Appropriate use of research funds

Researchers shall exercise their utmost respect for matters such as the purpose of the research aid, when conducting research and using research funds. Furthermore, Researchers shall adhere to the conditions and rules of use that are stipulated by the regulations of the University and by the terms of each research funding.

#### 3. Adherence to contracts and confidentiality obligations

In the event a Researcher enters a contract related to the research or to intellectual property rights, he/she shall follow the procedures set forth by the University as well as adhere to the terms stipulated in the contract entered. The Researcher shall also fulfil any confidentiality obligations that may arise as a result of information obtained in the course of the research.

4. Appropriate presentation and assignment of authorship of research findings Researchers shall exercise meticulous caution in assuring the reliability of data and evidence before the publication of research findings, where the basic attitude of Researchers shall be to respect other Researchers and their findings as well as originality and to give fair and appropriate citation. Furthermore, when presenting an academic paper or other material, Researchers shall pay careful attention to the accepted practices and rules specific to each research organization, field of research and academic journal. Presentation shall be made only upon obtaining the full agreement of all authors regarding authorship, the use and copyright of related data.

#### 5. Fairness in reviewing

When reviewing or refereeing research papers of others, Researchers shall not give unfair evaluations based on such factors as the attributes of the person whose research is being reviewed or the relationship the Researcher may have with such person. A fair review that is grounded in academic standards and the criteria for the evaluation of the review under question shall be performed.

#### 6. Consideration for the environment and safety, and respect for bioethics

When conducting research, Researchers shall adhere to the related laws and ordinances, regulations of the University and guidelines of the related government agencies and academic associations and the like when handling substances (radiation, radioactive isotopes, genetically-modified life forms, alien species, nuclear fuel materials, poisonous and deleterious substances, environmentally polluting substances etc.) that are potentially harmful to the environment and detrimental to safety. Approval shall be obtained from the appropriate intra- and extra-University committees as needed.

Moreover, the utmost respect shall be given to bioethics, especially when humans or animals are the subjects of the research.

#### 7. Elimination of discrimination and harassment

Researchers shall respect the personalities and freedoms of all individuals involved in any aspect of research activities and shall not discriminate based on attributes, ideology or beliefs. Furthermore, a Researcher shall not use his or her superior standing or rights in the context of research to speak or act in a detrimental way towards someone under his or her instruction or guidance.

#### 8. Protection of personal information

Researchers shall strive to protect the personal information of others obtained in the course of research. Such personal information shall be handled appropriately in accordance with the regulations of the University.

#### 9. Appropriate management of conflicts of interest

Researchers shall exercise due caution to avoid conflicts of interest and conflicts of commitment in their research activities. When a conflict of interest or conflict of commitment occurs, Researchers shall disclose such information in accordance with the regulations of the University and appropriately manage said conflict.

## (Research not to be conducted at the University)

Article 5 The University shall not conduct research for military security and dual use (military-and-civilian use).

## Supplementary Provisions

The Guideline is effective as of 1 January 2010.

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The Guideline shall be amended and be effective as of November 1, 2017.

This is an unofficial translation.

Only the original Japanese texts of regulations have effect, and the translations are to be used solely as reference material to aid in the understanding of Japanese regulations.