

# Sophia University Guidelines for Prevention of Misconduct in Research Activities

Enacted: March 1, 2016

## 1. Purpose

The purpose of these Guidelines is to prevent misconduct in research activities in Sophia University (hereinafter, “the University”) and to respond properly when such misconduct occurs.

## 2. Definitions

The terms listed in the following items are used in these Guidelines with the meanings defined for each term.

### (1) Misconduct in research activities

(i) Fabrication, falsification, or plagiarism, either willfully or due to gross neglect of the basic duty of care expected of a researcher

a. Fabrication: Presenting made-up data or fabricating results of research or experiments, etc.

b. Falsification: Changing research materials or instruments and altering research processes to obtain false data or results from research activities

c. Plagiarism: Using the ideas, analysis, analytical methods, data, research results, papers, or terminology of other researchers (only if the terminology is original to the other researcher) without obtaining the permission of the researchers or properly indicating the sources

(ii) Any of the following actions judged as improper behavior in the light of researcher codes of conduct and social norms, the special nature and customary practices of each research field as well as the ethical rules and codes of conduct of academic societies, and the rules for submission of papers to academic journals

a. Improper authorship: Attributing authorship of a research results presentation (paper) to a person lacking the qualifications as author, or failing to properly attribute authorship to the actual qualified authors

b. Duplicate submission: Submitting essentially the same paper as one that has already been published or submitted to another journal (except where the rules for submission of the journals or academic societies to which submission was made are met)

c. Improper conflict of interest management: In carrying out research activities where a conflict of interest may arise, failure to properly manage interests and obligations, such as by biasing the research or adversely impacting educational activities

(iii) In addition to (i) and (ii), any improper behavior in research activities that deviates flagrantly from researcher ethics in light of the researcher code of conduct and social norms

(2) Researchers

Faculty members and researchers affiliated with the University, and all others engaged in research activities in the University

(3) Organization

Any of the organizations and facilities defined in Article 2.1 of the Sophia School Corporation Personnel System

3. Obligations of researchers

(1) Researchers, etc. shall not commit misconduct in their research activities or any other improper conduct, and they shall endeavor to prevent misconduct by others.

(2) Researchers, etc. shall undergo training and education regarding researcher ethics and the laws and ordinances relating to research activities.

(3) Researchers, etc. shall obtain the means for certifying the legitimacy of their research activities, and in order to guarantee verifiability by a third party, shall properly preserve and manage notes recording their experiments and observations, experimental data, and other research materials for a fixed period, and shall disclose these in cases where such disclosure is deemed necessary and appropriate.

4. Clarification of organizational responsibility

(1) Chief management officer

(i) The chief management officer shall be the University President, who shall have ultimate responsibility and authority for governance of the entire University regarding the improvement of research ethics and prevention of misconduct.

(ii) The chief executive officer shall take appropriate measures to promote fair research activities.

(2) Administrative management officer

(i) The administrative management officer shall be the Vice President for Academic Exchange, who shall assist the chief executive officer and shall have effective responsibility and authority for governance of the entire University regarding the improvement of research ethics and prevention of misconduct.

(ii) The administrative management officer shall take appropriate measures, within the scope of his or her responsibility and authority, to promote fair research activities.

(3) Research ethics education officer

(i) The research ethics education officer shall be the head of each education and research organization as stipulated in the Sophia School Corporation Personnel System (Dean of the Graduate School, Dean of the Faculty, Institute Director, Center Director) and the head of each administrative organization (Bureau Director), who shall have the responsibility and authority for the improvement of research ethics and prevention of misconduct in each organization as well as for education in research ethics.

(ii) The research ethics education officer shall take appropriate measures, within the scope of his/her responsibility and authority, to promote fair research activities by the researchers affiliated with his/her organization, and shall provide them with periodic education on researcher ethics.

(4) Deputy research ethics education officer

(i) The deputy research ethics education officer shall be the person directly under the head of the education and research organization stipulated in the provision (3)(i) above (course supervisor, department head), who shall assist the research ethics education officer and have day-to-day responsibility and authority for the improvement of research ethics and prevention of misconduct in each organization as well as for education in research ethics.

(ii) The deputy research ethics education officer shall assist the research ethics education officer who takes appropriate measures, within the scope of his/her responsibility and authority, to promote fair research activities by the researchers affiliated with his/her organization and provides education in researcher ethics. The deputy research ethics education officer shall endeavor to cultivate researcher ethics.

#### 5. Providing education on ethical research practices

(1) The University shall periodically provide researches with research ethics education aimed at preventing misconduct in research activities and improving researcher ethics.

(2) The University shall promote provision of research ethics education to students aimed at developing basic ethical awareness regarding research activities and instilling in them thoroughgoing awareness of researcher ethics. In carrying out this education, the timing, methods, and contents of the education shall be appropriate to the nature of the students' field of specialization and their level, whether undergraduate or graduate students.

#### 6. Clarification of responsibilities in research activities

To prevent misconduct in research activities and clarify the responsibilities of each researcher taking part in research activities, researchers shall carry out those activities paying special attention to the following matters.

- (1) When research activities are conducted with participation of multiple researchers, the roles and responsibilities of each researcher in the research shall be made clear.
- (2) In research activities conducted with participation of multiple researchers, a person in the position of lead researcher responsible for overseeing and managing the project as a whole shall properly confirm the progress and results of the research.
- (3) A researcher in the position of guidance of research activities shall properly assist and advise the students and researchers receiving the guidance.

#### 7. Points to consider for proper conduct of research activities

Due caution shall be paid especially to the following matters, so as to avoid suspicion of misconduct or improper behavior, according to the special nature and customary practices of each research field and methods of presentation as well as the ethical rules and codes of conduct of academic societies.

##### (1) Preservation and disclosure of research data

(i) Research materials such as experimental data that are the basis of research results announced in papers or other presentation form shall in principle be preserved for ten years from the date of announcement. Specimens and other tangible research materials shall in principle be preserved for five years. These research materials shall be disclosed as necessary.

(ii) Exceptions may be made if preservation based on (i) is not feasible, as when preservation of research materials would be impossible or extremely difficult, or would require extreme cost or space, or due to the special nature of research activities in the research field.

(iii) Notwithstanding the provisions of (i) and (ii) above, in case there are special provisions on handling of data, etc. in the guidelines or regulations of the government or the research field, these shall be complied with.

##### (2) Assessment of other research

In conducting peer review, researchers shall carry out their duties fairly with a high ethical sense and insight.

#### 8. Consultation and complaints

##### (1) Consultation

Consultation requests from inside and outside the University concerning the improvement of research ethics and prevention of misconduct shall be received by the Center for Research Promotion and Support in the Bureau of Academic Research and Information.

(2) Complaints

(i) Complaints of misconduct in research activities shall be accepted by the Audit Office.

(ii) The handling of such complaints shall be stipulated separately.

Supplementary Provision

These Guidelines are in effect as of March 1, 2016.