

Regulations on Promoting Research Integrity, etc. at Kyoto University

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Article 1 Purpose

These regulations set forth the matters necessary to promote research integrity of the Faculty and Staff Members, etc. at Kyoto University (hereinafter referred to as the “University”) and to respond strictly and appropriately if any Research Misconduct is, or is likely to be, made.

Article 2 Definitions

- 1 “Faculty and Staff Members, etc.,” as referred to in these regulations, mean all persons who conduct research activities in the University including Executive Officers, Faculty and Staff Members, and students of the University.
- 2 “Faculty and Staff Members,” as referred to in these regulations, mean persons who are employed in accordance with the rules of employment established by the University.
- 3 “Students, etc.,” as referred to in these regulations, mean undergraduates, graduate students, foreign students, commissioned students, credited auditors, auditing students, special auditing students, special research students, special exchange students, etc. (as defined in Chapter 5 of the General Regulations of Kyoto University (Order No. 3 of 1953)), research students, trainees, etc. (as defined in the Kyoto University Training Regulations (Order No. 3 of 1949)), and other persons who are enrolled in, registered in, or accepted by, the University and are educated or engaged in a research.
- 4 “Research Misconduct,” as referred to in these regulations, means an act listed in the following items in the case where the Faculty and Staff Members, etc. of the University conduct research activities (including writing a thesis in the course of study), provided, however, that it is limited to an act resulting from intention or extreme failure of the fundamental duty of care to be exercised by the Faculty and Staff Members, etc.
 - (1) Fabrication: creating false data or research results, and presenting them in theses, etc.
 - (2) Falsification: creating false data or research results by altering research materials, equipment, or processes, and presenting them in theses, etc.
 - (3) Plagiarism: borrowing ideas, analytical methods, data, research results, theses, or terminology without permission or appropriate acknowledgement of the original researchers, and presenting them in theses, etc.
- 5 “Research Integrity Education,” as referred to in these regulations, means education that provides learning, etc. about the code of ethics required for the Faculty and Staff Members, etc. to conduct fair research activities.
- 6 “Department,” as referred to in these regulations, means each graduate school, etc. (meaning each graduate school, research institute, university library, university hospital, each center, etc. (meaning the institutes, etc. listed in Chapter 3, Section 7, as well as Section 8 and Sections 9 to 11 (excluding the Library Network among the organizations listed in Article 47, paragraph 1) of the Regulations on Organization of Kyoto University (Order No. 1 of 2004; hereinafter referred to as the “Organizational Regulations”)) and including administration office of department, etc. under Article 56, paragraph 1 of the Organizational Regulations), Central Administration, and each common administration office.

Article 3 General Manager

- 1 A General Manager shall be appointed in the University as a person who generally manages the promotion of research integrity, etc., at the University and responds strictly and appropriately in cooperation with relevant Executive Vice-Presidents, etc. if any Research Misconduct is, or is likely to be, perpetrated. The Executive Vice-President for Research Integrity (hereinafter referred to as the “Executive Vice-President in Charge”) shall be assigned to this position.
- 2 A Deputy General Manager may be appointed to assist the General Manager mentioned in the preceding paragraph.
- 3 A Deputy General Manager shall be designated by the General Manager from among Executive Vice-

Presidents or Vice-Presidents.

Article 4 Departmental Manager in Charge of Research Integrity

- 1 A Departmental Manager in charge of Research Integrity shall be appointed in a department to conduct the overall management of promotion of research integrity, etc. and provide Research Integrity Education, the maintenance of the implementation system thereof, etc. in such a department, and a head of the department (an Executive Vice-President in Charge in the Central Administration; hereinafter the same) shall be assigned to this position.
- 2 A Deputy Departmental Manager in charge of Research Integrity may be appointed in a department if deemed necessary in such a department.
- 3 A Deputy Departmental Manager in charge of Research Integrity shall be designated by the Departmental Manager in charge of Research Integrity from among the Faculty and Staff Members in such a department.
- 4 If a Deputy Departmental Manager in charge of Research Integrity is appointed, the Departmental Manager in charge of Research Integrity shall determine the authority and responsibilities to be held by such a Deputy Departmental Manager in charge of Research Integrity, disseminate information about the name and determined authority and responsibilities of such a person to the Faculty and Staff Members, etc. in such a department, and report the same to the General Manager.
- 5 If the Departmental Manager in charge of Research Integrity deems necessary, the promotion of research integrity, etc. may be jointly addressed by consultation among relevant departments.

Article 5 Responsibilities of Supervisors, etc.

- 1 A person who is in a position to provide supervision or instruction to the Faculty and Staff Members, etc. (hereinafter referred to as "Supervisors, etc.") shall provide such Faculty and Staff Members, etc. supervision, instructions, etc. necessary for the promotion of research integrity, etc.
- 2 In the case of joint research by multiple researchers, a research representative shall clarify the allocation of duties and responsibilities of individual researchers and endeavor to grasp the overall research activities of such joint research appropriately.

Article 6 Responsibilities of Faculty and Staff Members, etc.

- 1 The Faculty and Staff Members, etc. shall conduct fair research activities with high morality and self-discipline.
- 2 The Faculty and Staff Members, etc. shall comply with these regulations, instructions, etc. of the Departmental Manager in charge of Research Integrity or Supervisors, etc. hereunder and cooperate in the investigation set forth in Article 9, paragraph 1.

Article 7 Storage of Research Data, etc.

- 1 The Faculty and Staff Members, etc. shall store research data in a proper storage method for a certain period of time and disclose such research data as necessary.
- 2 The General Manager shall determine matters necessary for the storage, disclosure, etc. of research data.

Article 8 Research Integrity Committee

- 1 A research integrity committee (hereinafter referred to as the "Committee") shall be established under the General Manager to perform the duties listed in the following items for the promotion of research integrity, etc. of the Faculty and Staff Members, etc.:
 - (1) Duties for formulating and improving policies for the promotion of research integrity, etc.;
 - (2) Duties for taking improvement measures against causes of the Research Misconduct in cooperation with relevant departments;
 - (3) Other duties necessary for the promotion of research integrity, etc.
- 2 The Committee shall be organized by the committee members listed in the following items:
 - (1) General Manager
 - (2) Executive Vice-President or Vice-President designated by the President
 - (3) Dean of Graduate School
 - (4) Director of Research Institute
 - (5) Several persons designated by the President from among Directors of centers
 - (6) Director of Education Promotion and Student Support Department
 - (7) Director of Research Promotion Department
 - (8) Several other persons deemed necessary by the President
- 3 A chairperson and vice-chairperson shall be appointed in the Committee.
- 4 The General Manager shall be assigned to the position of chairperson, and a vice-chairperson shall be designated by the chairperson from among the Committee members in paragraph 2, items 2 to 5 and 8.

- 5 A research integrity promotion committee shall be established in the Committee to make and implement specific plans for the promotion of research integrity, etc.
- 6 The Committee shall determine matters necessary for its organization and operation and for the research integrity promotion committee, in addition to the provisions of the preceding respective paragraphs.

Article 9 Research Integrity Investigation Committee

- 1 A research integrity investigation committee (hereinafter referred to as the “Investigation Committee”) shall be established under the General Manager to provide reports, investigations, instructions, etc. necessary for reported Research Misconduct in the case where a report is made under Article 11 to the effect that the Research Misconduct is, or is likely to be, made in connection with the Faculty and Staff Members, etc.
- 2 The President shall determine matters necessary for the Investigation Committee and investigations.

Article 10 Inquiry Contact

- 1 An inquiry contact shall be established in the Office of Audit and Integrity and in each department to respond to reporting and requests for consultation on reporting (meaning consultation in the phase before reporting; hereinafter referred to as “Reporting, etc.”) for the Research Misconducts in the University.
- 2 The Faculty and Staff Members acting as an inquiry contact shall not be engaged in a case where they have an interest concerning the Reporting, etc.
- 3 The Faculty and Staff Members acting as an inquiry contact shall, when receiving the Reporting, etc., pay appropriate attention to keep the confidentiality of a person who makes the Reporting, etc. by making the contents and other similar things of such Reporting, etc. unseen and unheard by anyone other than the Faculty and Staff Members acting as an inquiry contact.

Article 11 Method of Reporting

- 1 Reporting shall be made by submitting or sending a document (including facsimile and email; hereinafter the same) to the inquiry contact in principle.
- 2 An originator of the document in the preceding paragraph shall identify himself/herself and specify the matters listed in the following items:
 - (1) A name/names of the Faculty and Staff Members, etc. who are alleged to have performed a Research Misconduct, a name of their group, etc.;
 - (2) Specific details of a Research Misconduct; and
 - (3) Scientific and reasonable grounds to consider the contents of Research Misconduct a fraud.
- 3 If a part of or the whole description in the respective items of the preceding paragraph is inadequate, the inquiry contact may order a correction of such a document.
- 4 The inquiry contact shall, on acceptance of a report (except in the case of a report that Research Misconduct is about to take place or is being requested), promptly report to the Investigation Committee and notify such a Reporting Person (excluding those who made the report anonymously; hereinafter referred to as the “Reporting Person”) of acceptance thereof.
- 5 When the Investigation Committee receives a report as described in the preceding paragraph, or deems that a report has been made pursuant to Paragraph 12, it shall promptly report the matter to the General Manager (except cases in which the content of the report or notification received by the Investigation Committee is related to the preparation of a thesis written in the course of study or other inappropriate conduct in research activities [such as double submission, inappropriate authorship, etc., the same shall apply in Paragraphs 7 and 10]).
- 6 Upon receipt of a report as described in the preceding paragraph, the General Manager shall acknowledge the report and notify the Departmental Manager in charge of Research Integrity in the department of affiliation of the reported person of the content of the report (If the Departmental Manager in charge of Research Integrity is involved in the content of the report, such notification shall be made to the Deputy Departmental Manager in charge of Research Integrity or other appropriate person who is not involved in the content of the report. The same shall apply hereinafter).
- 7 If the content of the report relates to the preparation of a thesis written in the course of study or other inappropriate conduct in research activities, the Investigation Committee shall promptly report that fact to the General Manager.
- 8 Upon receipt of a report as described in the preceding paragraph, the General Manager shall forward the content of the report to the appropriate executive vice-president or vice-president.
- 9 If the report indicates that Research Misconduct will occur or is being requested, the inquiry contact shall promptly report the same to the Investigation Committee and notify the Reporting Person that the report has been received.
- 10 The Investigation Committee shall, on receipt of the report in the preceding paragraph, immediately report the matter to the General Manager, and the General Manager will report the content of the report to the

Departmental Manager in charge of Research Integrity in the department of affiliation of the reported person and instruct the Departmental Manager to confirm the facts and issue a warning, etc., to the reported person as necessary.

- 11 If a person belonging to an organization other than the University (hereinafter referred to as “Another Organization”) is included as being reported or if a report irrelevant to the University is received, and if the General Manager deems it necessary to transfer such a reported case to Another Organization that such a reported person belongs to, or Another Organization that should investigate the details of reporting, the inquiry contact shall transfer such a case to such Another Organization, provided that what is reported is irrelevant to the University, the inquiry contact shall notify the Reporting Person of the party to which the case is transferred and other necessary matters in advance and obtain consent of the Reporting Person.
- 12 In addition to the provisions of paragraphs 1 and 2, if a Research Misconduct is pointed out by a news report, academic conference, Another Organization, etc. and if the matters in paragraph 2 are specified, the Investigation Committee shall deem that the reporting in paragraph 1 is made and may conduct an investigation set forth in Article 9, paragraph 1.

Article 12 Counseling Procedures for Reporting

- 1 Counseling for reporting shall be made with a document submitted or sent to the inquiry contact or by a phone call or meeting.
- 2 If deemed necessary by the inquiry contact when accepting the counseling in the preceding paragraph, the inquiry contact may check whether a person who makes such counseling for reporting (hereinafter referred to as the “Counselee”) intends to make a report or treat the counseling as being equivalent to reporting.

Article 13 Dissemination of Reporting Processing System, etc.

The General Manager shall disseminate information about the inquiry contact, procedures for reporting, etc., and other necessary matters to the University and Another Organization.

Article 14 Confidentiality Obligation

The Faculty and Staff Members who act as an inquiry contact and a person who is involved in an investigation of Research Misconduct shall not divulge to others any secret that could be learned in the course of duties.

Article 15 Measures to Prevent Recurrence of Research Misconduct

The General Manager may cause the Departmental Manager in charge of Research Integrity or the Committee to take measures to prevent the recurrence of Research Misconduct as deemed necessary.

Article 16 Disciplinary Measures, etc.

- 1 If the Faculty and Staff Members, etc. perform a Research Misconduct, the President may take disciplinary measures, make an assessment that corresponds to an assessment of disciplinary measures, give a reprimand, etc., in accordance with the regulations of the University.
- 2 The preceding paragraph also applies to the Supervisors, etc.

Article 17 Legal Action

If the Faculty and Staff Members, etc. perform a Research Misconduct, damage incurred by the University may be indemnified by such Faculty and Staff Members, etc., and a civil or criminal legal action may be taken against such Faculty and Staff Members, etc. as necessary.

Article 18 Measures against Reporting with Malicious Intent

As a result of the investigation in Article 9, paragraph 1, if a Research Misconduct is not identified and the report is deemed to have been made for the purpose of gaining improper benefit by the Reporting Person or causing damage to another person, or for other improper purposes (in Article 20, referred to as the “Malicious Intent”), the University may take a civil or criminal legal action against the Reporting Person.

Article 19 Response to Measures by Funding Organization

- 1 If a funding organization (meaning the organization that allocates funds to the research concerning the reported case) takes measures to reduce indirect expenses, etc. because a Research Misconduct is performed in a department, the President shall take necessary measures against the department where such misconduct is performed.
- 2 When necessary measures in the preceding paragraph are going to be taken, various procedures prescribed by the University shall be followed according to the details of such measures.
- 3 In the case of paragraph 1, the President shall endeavor to ensure that such measures do not affect the performance of research activities of the Faculty and Staff Members, etc. in the department who are not

engaged in the misconduct and activities and environment of education and research for students.

Article 20 Prohibition of Disadvantageous Treatment

- 1 The University, Faculty and Staff Members, etc. shall not give disadvantageous treatment to the Reporting Person or Counselee on the grounds that such a person made Reporting, etc. to the inquiry contact about a Research Misconduct, except in the case where the Reporting Person is found to have Malicious Intent for the report.
- 2 The University, Faculty and Staff Members, etc. shall not give disadvantageous treatment to a person against whom the Reporting, etc. was made on the grounds that there was such Reporting, etc.

Article 21 The General Manager shall determine matters necessary for the enforcement of these regulations in addition to the provisions hereof.

Supplementary Provision

These Regulations shall come into force on March 1, 2015. However, the revised provision of Article 7, paragraph 2 shall come into force on the date of enforcement that the Executive Vice-President in Charge determines in accordance with the provision thereof.

[Supplementary provisions are omitted for in-between revised regulations.]

Supplementary Provisions (Order No. 81 of 2022)

These Regulations shall come into force on Oct. 1, 2022.

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