

Points for Verification and Pledge Regarding the Maintenance of Propriety in Research Activities and Appropriate Use of Research Grants

When conducting research activities using KAKENHI, you (researchers) must clearly understand that your KAKENHI are funded with the tax of citizens, use your KAKENHI in a proper and efficient way, and refrain from committing fraudulent acts. Principal Investigators have the responsibility to make sure that these instructions are conveyed to Co-Investigators (*kenkyū-buntansha*) and Co-Investigators (*renkei-kenkyūsha*) so as to ensure their understanding regarding the maintenance of propriety in research activities and appropriate use of research grants.

Points for Verification

Maintenance of Propriety in Research Activities

- Fraudulent acts in scientific research amount to desecration of science, undermine people's trust in science, impede the development of science, and should not be allowed to happen in the first place. Also, as support through research grants from public funds is increasing for an advance investment for the future, even a higher expectation exists for the maintenance of research propriety in the sense of effective use of public funds.
- Research activities are the acts of creating new knowledge and developing a knowledge system based on original reflections, inspirations, ideas, etc., while making use of facts and data obtained from observation, experimentation, etc., and extending the research achievements of our predecessors. The publication of research results consists of making the results open and available to the researchers' community for comments and criticisms through the presentation of objective and verifiable data and materials. Fraudulent acts are the acts in violation of research ethics, which distort the essence and/or the significance of the research activities and presented results, and which impede normal scientific communication of the researchers' community.
- Fraudulent acts are acts of betrayal of science, and will absolutely not be tolerated, irrespective of the size or provenance of the research grant. This must be understood by individual researchers as well as researchers' communities, universities, research institutions, institutions allocating research grants, all of whom must adopt an attitude of zero-tolerance against fraudulent acts. One may see the problem of fraudulent acts as the problem of "quality control of knowledge" which is the product of research activities. If fraudulent acts were to be found in their own

published research results, researchers must immediately notify them to the researchers' community and withdraw the relevant results.

- Fraudulent acts must be addressed and prevented, first of all, through researchers' own strict self-discipline and based as well on the autonomous self-purification functions of the researchers' community, universities and research institutions, and they are thus to be acknowledged as an important task at all levels. Senior researchers who are in the position of training younger researchers must understand what self-discipline and autonomy entail, and that they must properly educate these junior researchers and students.
- In the "Guidelines for Responding to Misconduct in Research (Adopted August 26, 2014 by the Ministry of Education, Culture, Sports, Science and Technology (MEXT))", each of the following acts is defined as a specific fraudulent act.
 - (1) Fabrication: Making up data or research results, etc.
 - (2) Falsification: Manipulating research materials, equipment, or processes to change data or results obtained from research activities.
 - (3) Plagiarism: Appropriating the ideas, analysis, analytical methods, data, research results, research paper(s), or words of other researchers without obtaining the permission of the researchers or giving appropriate credit.

Appropriate Use of Research Grants

- Fundings, competitive or otherwise, consist of those that are provided to research institutions and those that are for the implementation of research conducted by individual researchers. However, even if the funding may appear to be characterized as a subsidy to an individual researcher, the funding must be managed under the responsibility of universities or research institutions, in order to ensure the trust of the citizens given that the funding originates from their tax.
- The person who is in charge of the management of the competitive funding and other funding in the institutions is required to eliminate those factors that would induce fraudulent acts and to cultivate an environment/system which functions to deter fraudulent acts, under the assumption that it is at all times possible that fraudulent use of research grants is committed.
- When using research grants, it is necessary to appropriately implement research grants, in accordance to the rules of the university or research institution to which the management is entrusted.
- Fraudulent use of a research grant is the use of the research grant for ulterior purposes, intentionally or by gross negligence, and/or the use that violates the

content of, and/or the conditions attached to, the decision to fund the research grant.

- Examples of fraudulent use of research grants include the act of taking out funding through a false invoice, that of misappropriating the funding for other purposes, and that of pooling the funding. They are broadly divided into fraudulent use related to (1) expenses for purchase of goods, (2) personnel and salaries, and (3) travel expenses. In addition to the misappropriation for personal gains, the use of the funding for purposes other than the original intent and the expenditure through fabricated documents are considered fraudulent use, even if the research grant is used to fund the research.

(1) Example of fraudulent use related to expenses for purchase of goods

A researcher and a trader engage in a fictitious transaction of purchase of goods, whereby the researcher has the money paid by his/her university or research institution through fabricated or falsified statements of delivery and invoices to a fraudulent account managed by the trader, so that the researcher could receive the delivery of goods related to his/her research or otherwise inappropriately at his/her discretion.

(2) Example of fraudulent use related to personnel and salaries

By fabricating or falsifying work attendance sheets or through other means, a researcher pads the bill for personnel or bills the salary of fictitious employees, so that the personnel costs and salaries paid by the university or research institution would return to him/herself, which then could be pooled for his/her laboratory or other use. The researcher then uses the pooled fund for the purchase of consumables or other items for his/her research, or for travel expenses of graduate students to attend conferences, inappropriately at his/her discretion

(3) Example of fraudulent use related to travel expenses

By fabricating or falsifying documents related to the payment of travel expenses, a researcher inflates a schedule or bills travel expenses related to fictitious business trips so that the travel expenses paid by the university or research institution would return to him/herself, which then could be pooled for his/her laboratory or other use. The researcher then uses the pooled fund for the purchase of consumables or other items for his/her research, or for travel expenses of graduate students to attend conferences, inappropriately at his/her discretion.

Responding to Fraud That Has Been Established

- If a fraudulent act in research papers or other publications has been established, or if a fraudulent use of research grant has been established, the researcher will return the funding and, moreover, he/she will be excluded from applying for competitive funding or any other funding for a period up to 10 years, starting from the next fiscal year following the fiscal year in which the fraudulent act(s) has/have been established.

(Note) Measures to be taken for an established fraudulent use of a research grant have been revised (since April 2013).

- When fraud, such as fabrication, falsification, or plagiarism, has been established, the following persons shall be subject to measures.
 - (1) Persons established to have been involved in fraudulent acts (2 to 10 years exclusion from eligibility to apply).
 - (2) Authors established that they bear responsibility for the content of a research paper or other research related publication for which it has been established that fraudulent acts have been committed, even if it has not been established that these authors themselves were involved in the fraudulent acts (1 to 3 years exclusion from eligibility to apply).
- When fraudulent use of research grants has been established, the following persons shall be subject to measures.
 - (1) Researchers who committed fraudulent use, and researchers who conspired in such use (1 to 10 years exclusion from eligibility to apply).
 - (2) Researchers who received a research grant through deception or other fraudulent means, and researchers who conspired in such deception (5 years exclusion from eligibility to apply).
 - (3) Researchers who violated their duty to proceed their projects with the due care of a diligent manager, even if they are not directly involved in fraudulent use (1 to 2 years exclusion from eligibility to apply).
- Restrictions on eligibility to apply and other matters that are associated with the establishment of the said fraudulent acts or fraudulent use will apply uniformly to those for whom it has been established that they committed fraudulent acts or fraudulent use in research activities, regardless of whether the fundings were based on competitive funding from JSPS or the Ministry of Education, Culture, Sports, Science and Technology (MEXT), or were under the control of other Government Offices and Ministries.

The Ethics Education in Research Lecture Attendance and Other Requirements

Principal investigators and co-investigators (kenkyu-buntansha) who are conducting research activities granted by KAKENHI must read the teaching material concerning Ethics Education in Research, such as “For the Sound Development of Science -The Attitude of a Conscientious Scientist-” edited by the Japan Society for the Promotion of Science Editing Committee “For the Sound Development of Science” , complete E-Learning Course on Research Ethics [eL CoRE] , CITI Japan e-learning program, etc. or attend the lecture program given by research institutions on Ethics Education in Research in accordance with the “Guidelines for Responding to Misconduct in Research” (Adopted August 26, 2014 by the Ministry of Education, Culture, Sports, Science and Technology(MEXT)).

Please read and confirm the following items on the Ethics Education in Research lecture attendance or other above mentioned requirements and check the box for verification.

- I attended the Ethics Education in Research lecture in the accordance with the handling by the research institution to which I belong.

If your research group includes a co-investigator/co-investigators, please ask him/her/them about the following and check the box after you confirm their attendance at the Ethics Education in Research lecture.

- All co-investigators of my research group attended the Ethics Education in Research lecture in accordance with the handling by the research institutions to which they belong.

If your research group does not include a co-investigator/co-investigators, please check the box below.

- My research group does not include a co-investigator/co-investigators.

Points for Pledge

For compliance of supplementary conditions

- When conducting research activities using KAKENHI, I understand and comply with the supplementary conditions (funding conditions). Also, I clearly recognize that citizens have placed trust in scientific research and that KAKENHI are funded with their tax, and I therefore use KAKENHI in a proper and efficient way and refrain from committing fraudulent acts during my research.