

## **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 research misconduct.

Principal Investigators have the responsibility to make sure that these instructions are conveyed to Co-Investigator(s) (*Co-I(s)*) so as to ensure their understanding regarding the maintenance of propriety in research activities and appropriate use of research grants.

### **Maintenance of Propriety in Research Activities**

- Research misconduct 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. Research misconduct 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.
- Research misconduct 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, research institutions, institutions allocating research grants, all of whom must adopt an attitude of zero-tolerance against research misconduct. One may see the problem of research misconduct as the problem of "quality control of knowledge" which is the product of research activities. If research misconduct were to be found in their own published research results, researchers must immediately notify them to the researchers' community and withdraw the relevant results.

- Research misconduct, along with its prevention, must be addressed, first of all, as a practice of self-correction based on researchers' own strict self-discipline and self-regulatory efforts in researchers' communities and research institutions, and it is 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 Minister of Education, Culture, Sports, Science and Technology)", each of the following acts is defined as a specific research misconduct.
  - (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**

- Competitive research funds 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 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 research funds and other funding in the research institutions is required to eliminate those factors that would induce improper grant spending and to cultivate an environment/system which functions to deter research misconduct, under the assumption that it is at all times possible that improper grant spending is committed.
- When using research grants, it is necessary to appropriately implement research grants, in accordance to the rules of the research institution to which the management is entrusted.
- Improper grant spending 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 official grant decision.

- Examples of improper grant spending 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 improper grant spending related to (1) expenses for purchase of goods, (2) honoraria 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 improper grant spending, even if the research grant is used to fund the research.

(1) Example of improper grant spending 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 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 improper grant spending related to honoraria 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 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 improper grant spending 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 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 research misconduct in research papers or other publications has been established, or if a improper grant spending has been established, the researcher will return the funding and, moreover, he/she will be excluded from eligibility to apply for competitive research funds and other matters for a period up to 10 years, starting from the next fiscal year following the fiscal year in which the research misconduct (s) has/have been established.

(Note) Measures to be taken for an established improper grant spending have been revised (since April 2013).

- When research misconduct, 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 research misconduct (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 research misconduct have been committed, even if it has not been established that these authors themselves were involved in the research misconduct (1 to 3 years exclusion from eligibility to apply).

- When improper grant spending has been established, the following persons shall be subject to measures.

(1) Researchers who committed improper grant spending, 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 improper grant spending (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 research misconduct or improper grant spending will apply uniformly to those for whom it has been established that they committed research misconduct or improper grant spending in research activities, regardless of whether the fundings were based on competitive research funds from JSPS or the Ministry of Education, Culture, Sports, Science and Technology (MEXT), or were under the control of other Government Offices and Ministries.

### **Completion of Research Ethics Education Coursework, etc.**

Principal Investigators and Co-Investigators (Co-Is) 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 -” (“For the Sound Development of Science” Editorial Committee on JSPS) , complete E-Learning Course on Research Ethics (eL CoRE), APRIN e-learning program (eAPRIN), 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 Minister of Education, Culture, Sports, Science and Technology).

Please read and confirm the following items on the Completion of Research Ethics Education Coursework, etc. and check the box for verification.

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

If your project members include (a) Co-Investigator(s), please ask him/her/them about the following and check the box.

- All Co-Investigators of my project members attended the Research Ethics Education Coursework, etc. in accordance with the handling by the research institutions to which they belong.

If your project members do not include (a) Co-Investigator(s), please check the box below.

- My project members do not include (a) Co-Investigator(s).

### **Code of Conduct for Scientists to Adhere**

- I understand thoroughly and confirm both the statement “Code of Conduct for Scientists –Revised Version-” (section I. “Responsibilities of Scientists”) by the Science Council of Japan and the booklet “For the Sound Development of Science - The Attitude of a Conscientious Scientist-” (especially section I “What Is a Responsible Research Activity?”) issued by the JSPS for which the researchers should consider in conducting their research. Also, I pledge to adhere such code of conduct and carry out research activities fairly and conscientiously in conducting the research using the KAKENHI.

**[Extraction from the Statement “Code of Conduct for Scientists – Revised Version –” by the Science Council of Japan dated on 25 January 2013]**

**I Responsibilities of Scientists**

(Basic Responsibilities of Scientists)

1 Scientists shall recognize that they are responsible for assuring the quality of the specialized knowledge and skills that they themselves create, and for using their expert knowledge, skills and experience to contribute to the health and welfare of humankind, the safety and security of society and the sustainability of the global environment.

(Attitude of Scientists)

2 Scientists shall always make judgments and act with honesty and integrity, endeavoring to maintain and improve their own expertise, abilities and skills, and shall make the utmost effort to scientifically and objectively demonstrate the accuracy and validity of the knowledge they create through scientific research.

(Scientists in Society)

3 Scientists shall recognize that scientific autonomy is upheld by public trust and the mandate of the people, understand the relationships between science, technology, society, and the natural environment from a wide-ranging perspective, and act in an appropriate manner.

(Research that Answers to Social Wishes)

4 Scientists shall recognize that they are responsible for answering to the wishes of society to investigate into truths and to achieve various issues. When using research funds that are to be provided for establishing the research environment and for conducting research scientists shall always recognize that such broad social expectations exist.

(Accountability and Disclosure)

5 Scientists shall strive to disclose and actively explain the roles and significance of their own research, evaluate the possible effects of their research on people, society and the environment as well as the changes that their research might engender, neutrally and objectively disclose the results of this evaluation, and build a constructive dialogue with society.

(Dual Use of Scientific Research Outcomes)

6 Scientists shall recognize that there exist possibilities that their research results, contrary to their own intentions, may be used for destructive actions, and shall select appropriate means and methods as allowed by society in conducting research and publicizing the results.

\* URL: <http://www.scj.go.jp/ja/scj/kihan/>

**[“For the Sound Development of Science – The Attitude of a Conscientious Scientist –” by the Japan Society for the Promotion of Science (JSPS)]**

(Japanese version (text version)) (“For the Sound Development of Science” Editorial Committee on JSPS)

\* URL: <https://www.jsps.go.jp/j-kousei/data/rinri.pdf>

If your project members include (a) Co-Investigator(s), please ask him/her/all of them to make a pledge on the following statement and check the box.

- He/she/they understand thoroughly and confirm both the above-mentioned statement “Code of Conduct for Scientists –Revised Version-” by the Science Council of Japan and the booklet “For the Sound Development of Science - The Attitude of a Conscientious Scientist-” issued by the JSPS as a Co-Investigator. Also, he/she/they pledge to adhere such code of conduct and carry out research activities fairly and conscientiously in conducting the research using the KAKENHI as a Co-Investigator.

If your project members do not include (a) Co-Investigator(s), please check the box below.

- My project members do not include (a) Co-Investigator(s).

**For Compliance of Supplementary Conditions (Funding 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 research misconduct during my research.

If your project members include (a) Co-Investigator(s), please ask him/her/all of them to make a pledge on the following statement and check the box.

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

If your project members do not include (a) Co-Investigator(s), please check the box below.

- My project members do not include (a) Co-Investigator(s).