

\* The Japanese version is the authoritative version, and this English translation is intended for reference purposes only. Should any discrepancies or doubts arise between the two versions, the Japanese version will prevail.

## Rules Regarding Prevention of Research Misconduct at the University of Tokyo

Established January 28, 2016  
Board Resolution  
The University of Tokyo Rule No. 18

### Article 1 (Purpose)

The purpose of these rules is to establish the basic policies concerning the prevention of fraudulent activities in research at the University of Tokyo (hereinafter referred to as the “University”) based on the “Code of Conduct for Research at the University of Tokyo”, and to prevent misconduct in research activity by creating and preparing appropriate management structures for research.

### Article 2 (Scope)

These rules should apply to any research activities conducted at the University.

### Article 3 (Definition)

Definitions of the terms listed in this regulation shall be governed by the following definitions.

- (1) “Research misconduct” means fabrication, falsification, plagiarism and other conducts regulated in Article 2 of the “Code of Conduct for Research at the University of Tokyo”, in processing and performing research, or in reporting research results, intentionally, or conspicuously without due care as a researcher.
- (2) “Research ethics education” means education, training and activities for learning the ethical standards required of researchers in order to prevent research misconduct before the fact and to promote fair research activity.
- (3) “Researcher” means a person who is engaged in research activity at the University.
- (4) “Department” means the University of Tokyo Library System, research centers and institutes of the university-wide Centers and the University of Tokyo Institutes for Advanced Study (UTIAS), university academic organizations (Faculties/College, Graduate Schools, and Attached Institutes), the University of Tokyo Hospital and the divisions under the office of the President based on the regulations of Articles 13 and 18 of The University of Tokyo Rules on Basic Organizations.

### Article 4 (Basic Policy)

Basic policies of the University for preventing research misconduct shall be as follows:

- (1) To observe the “Code of Conduct for Research at the University of Tokyo”, “Rules Regarding Prevention of Fraudulent Activities in Research at the University of Tokyo”

and other applicable laws and regulations.

- (2) To prepare a structure to promote fair research activity at each department.
- (3) To create structure to provide thorough research ethics education for researchers and students.

#### Article 5 (Basic Policy)

1. Researcher shall not perform research misconduct or other inappropriate conducts, and shall make an effort to prevent research misconduct by other researchers.
2. Researcher shall take the research ethics education.
3. Researcher shall appropriately store and preserve research-related documentation such as paper and document, numerical data and image etc. and other tangible objects such as experimental specimen and sample etc. (hereinafter referred to as “research-related materials etc.”) in accordance with the rules regulated separately so that they may be provided as proof for the validity of the research activity and also may be made available in the event of verification by a third party.

Researcher shall disclose research-related materials etc. if its disclosure is necessary and reasonable.

#### Article 6 (Structure of Responsibility for Management)

For the purpose of fair research activity at the University of Tokyo, the responsibility and authority shall be structured as follows:

- (1) The President shall be appointed as the chief in charge of management who shall have overall control over the whole University and shall be ultimately responsible for the prevention of research misconduct.
- (2) The Executive Vice President in charge of research shall be appointed as the general manager responsible for management and shall be given the actual responsibility and authority by chief in charge.
- (3) Dean/Director of department shall be appointed as the department manager responsible and shall be given the responsibility and authority over the department with regards to the prevention of research misconduct within the department.
- (4) The department manager responsible shall appoint person(s) responsible of research ethics to help with the duty under Article 5 item (3), who shall promote specific actions for the prevention of research misconduct.

#### Article 7 (Structure of Responsibility for Management at Department)

Department manager responsible shall prepare the following management structure according to the circumstances of each department with consideration for a flexible structure and operation so that smooth research activity is not discouraged:

- (1) To clarify the responsibility and authority regarding the prevention of research misconduct
- (2) To take necessary measures regarding the storage and preservation of research-related

materials etc. and its disclosure.

- (3) To prepare structures of support and advice for young researchers etc. so that they may independently carry out research.
- (4) As a person responsible for research ethics education, the department manager shall regularly provide opportunities for research ethics education to researchers within the department and shall be aware of the record of its attendance.

#### Article 8 (Auxiliary Provisions)

All matters necessary for preventing research misconduct besides these rules shall be provided separately.

#### Supplementary Provision

These Rules shall come into effect from January 28, 2016.