

○ Rules for Promoting Fair Research Activities at Tohoku University

September 24, 2013

Rule No. 100

Rules for Promoting Fair Research Activities at Tohoku University

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**Chapter 1 General Provisions**

(Purpose)

**Article 1**

These Rules are designed to set forth the necessary matters for promoting fair research activities at Tohoku University (hereinafter referred to as “the university”), and thereby, prevent misconduct fulfill the university’s social responsibilities, and live up to the trust placed in the university by society.

(Definitions)

**Article 2**

1. In the Rules, “researchers” mean all individuals engaged in research activities at the university, including faculty and students.
2. In the Rules, “misconduct” mean fabrication, falsification, plagiarism, and other fraudulent or improper dealings in research activities.
3. In the Rules, “schools, institutes, and offices” means the Office of the President, graduate schools, the Educational Informatics Education Division, the Educational Informatics Research Division, research institutes, the university library, each of its libraries, the hospital, inter-department institutes for education and research, university collaborating institutions, the Advanced Institute for Materials Research (AIMR), the Information Synergy Organization, the Tohoku Medical Megabank Organization, the Division of Engineering and Technical Staff, the departments, divisions, or offices of the Administration Bureau, the Audit Office, and other organizations set forth separately.

(Duties of researchers)

### **Article 3**

1. Researchers must adhere to manners which should be maintained in research activities and strive to enhance awareness of research ethics, by fully understanding that misconduct breaches the essence of research activities and publication of their findings without forgetting the researchers' mission to uncover the truth.
2. Researchers who mentor students or other young researchers must strive to carry out educational activities necessary for junior researchers to understand the duties of researchers in the preceding paragraph.

## **Chapter 2 Framework for Promoting Fair Research Activities**

(Duties of the President)

### **Article 4**

The President must establish a code of conduct for researchers and a framework for dealing with misconduct.

(Duties of the Executive Vice Presidents, etc.)

### **Article 5**

The Executive Vice Presidents or Vice Presidents designated by the President must educate and raise awareness of the manners and research ethics which should be maintained in research activities, as well as implement other initiatives for promoting fair research activities.

(Duties of the Heads of Schools, Institutes, and Offices)

### **Article 6**

The heads of schools, institutes, and offices shall make efforts to educate and raise awareness of the manners and research ethics which should be maintained in research activities, taking into consideration factors unique to the schools, institutes, and offices.

(Committee for the Promotion of Fair Research Activities)

### **Article 7**

The Committee for the Promotion of Fair Research Activities (hereinafter referred to as "the Committee") will be set up at the university.

(Matters under Jurisdiction)

### **Article 8**

The Committee will deliberate the following items:

- (1) Items related to the establishment and overview of basic policies pertaining to the promotion of fair research activities;
- (2) Items related to the establishment of a framework for promoting fair research activities;

- (3) Items related to education and awareness-raising pertaining to the promotion of fair research activities;
- (4) Items related to the verification of measures for promoting fair research activities; and
- (5) Other important items related to the promotion of fair research activities.

(Organization)

#### **Article 9**

The Committee will consist of the following members:

- (1) The Executive Vice President or Vice President provided for in Article 5
- (2) The Executive Vice President or Vice President designated by the President (excluding those listed in the previous item) - 1 person
- (3) Tohoku University professors - 3 people
- (4) Individuals with specialized knowledge in law or audit - Several people
- (5) Other individuals that the Committee deemed necessary - Several people

(The Chair and Deputy Chair)

#### **Article 10**

- 1. The Committee will have a Chair and Deputy Chair. The Chair will be appointed from among the members listed in Item 1 of the preceding article. The Deputy Chair will be appointed from among the members designated by the Chair.
- 2. The Chair will preside over the work of the Committee.
- 3. The Deputy Chair will support the Chair, and if the Chair is unable to fulfill his duties, the Deputy Chair will carry out the Chair's duties on his/her behalf.

(Delegation)

#### **Article 11**

Members listed in Items 3 to 5 of Article 9 are delegated by the President.

(Term)

#### **Article 12**

- 1. Members listed in Items 3 to 5 of Article 9 will have a term of two years. However, the term of substitute members will be the remaining term of the predecessor.
- 2. The members in the preceding paragraph may be reappointed.

(Attendance of Non-members)

#### **Article 13**

The Committee may, if it is deemed necessary, have non-members attend Committee meetings and hear their explanations or opinions.

(Expert Committee)

#### **Article 14**

1. An expert committee may be set up at the Committee if it is necessary to conduct investigations and deliberations regarding technical matters associated with fair research activities.
2. The necessary matters regarding the expert committee will be set forth separately.

(General Affairs)

#### **Article 15**

The general affairs of the Committee will be processed by the Research Promotion Department.

### **Chapter 3 Dealing with Misconduct, etc.**

(Dealing with Misconduct)

#### **Article 16**

1. The framework for dealing with misconduct etc., confidentiality by parties dealing with the misconduct, the applicable misconduct, the organizations conducting the investigation of the case pertaining to the allegations, the framework and method of investigating allegations, measures for the complainant and respondent, and other matters necessary for dealing with misconduct, etc. in research activities will be set forth separately.
2. If an allegation or a similar action is taken with regard to misconduct, it will be dealt with fairly and rigorously.

(Measures when Misconduct Occurs)

#### **Article 17**

If misconduct occurs (including cases in which suspicions of misconduct have been confirmed), the Executive Vice President or Vice President set forth in Article 5 must work with the heads of the schools, institutes, and offices at which the misconduct occurred in order to correct the misconduct, prevent its recurrence, or take other necessary measures.

### **Chapter 4 Miscellaneous Provision**

#### **Article 18**

In addition to the provisions in these Rules, matters necessary for promoting fair research activities will be set forth separately.

#### **Supplementary Provisions**

1. These Rules shall enter into force on September 24, 2013.
2. The term of the members of the Committee delegated for the first time following the

entry into force of the Rules will expire on March 31, 2015, irrespective of the provisions of the text in Article 12, Paragraph 1.