

Regulations on the Prevention of Research Misconduct
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This is a translation of the Japanese and is for information purposes only.

Article 1 Purpose

These regulations set forth the measures necessary to prevent research misconduct among RIKEN's researchers and other personnel, and to provide for prompt and appropriate response in the event that research misconduct takes place or is suspected.

Article 2 Definitions

1. In these regulations, the term "researchers" refers to all RIKEN personnel involved in research activities.
2. In these regulations, the term "research misconduct" refers to the occurrence of any of the following in the course of research activities. Inadvertent or unintentional errors and differences of opinion are not regarded as research misconduct.
 - (1) Fabrication: Making up data or results and recording or reporting them.
 - (2) Falsification: Manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
 - (3) Plagiarism: The appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

Article 3 Standard of conduct for researchers

A person involved in research work should take pride in being a researcher and should be aware of the obligations inherent in such a position. The researcher must abide by the following standards.

- (1) Do not commit research misconduct.
- (2) Do not aid or abet research misconduct.
- (3) Do not allow others to commit research misconduct.

Article 4 Duties of the supervisor

Supervisors must comply with the following to ensure that research misconduct does not occur within the organization for which they are responsible.

- (1) Properly check all research reports, various data, and research

procedures within the organization.

- (2) Ensure that all subordinates are aware that laboratory notebooks, and any other recordkeeping medium, whether paper-based or electronic, are not the personal property of any one individual but rather belong to RIKEN as defined in Article 3 of the RIKEN Regulation on Management of Research Results (2006, Reg. 10). Also instruct all subordinates on the proper method for making entries in laboratory notebooks.
- (3) Laboratory notebooks, and any other recordkeeping medium, whether paper-based or electronic, must be kept on file even after research results have been published, for a duration designated by RIKEN, so as to be available as reference to other researchers or for investigations.
- (4) When jointly publishing a paper, the share of responsibility between the corresponding author and co-authors should be made clear.

Article 5 Burden of proof

A RIKEN researcher who is suspected of research misconduct has a responsibility to explain the facts of the case to RIKEN.

Article 6 Individual with overall responsibility

The executive director in charge of research affairs shall be in charge of all matters pertaining to research misconduct within RIKEN.

Article 7 Point of contact for reporting research misconduct

The Auditing and Compliance Office shall serve as the contact point for consulting about or reporting research misconduct.

Article 8 Notice of protocols for reporting research misconduct

RIKEN shall notify all employees and also make public, information on the internal responsible office for reporting research misconduct and the procedures involved in making such reports.

Article 9 Procedures for reporting research misconduct

1. Incidents of research misconduct may be reported by telephone, email or letter.
2. In reporting an incident, the informant must name the researcher or research group suspected of research misconduct, explain the specific nature of the research misconduct, and present scientific and rational reasons why research misconduct is suspected.

Article 10 Receipt of report on research misconduct

1. Upon receiving a report of research misconduct, RIKEN must promptly instruct the director of the Auditing and Compliance Office to carry out a

preliminary inquiry.

2. Anonymous reports of research misconduct may be handled using the same procedures as for reports made by known informants.
3. When there is sufficient reason to do so, consultations related to research misconduct may be handled as a report of research misconduct and investigated accordingly.
4. When there is sufficient reason to do so, consultations on preventing research misconduct may lead to an inquiry and the issuing of a warning to those who appear on the verge of research misconduct.
5. Should allegations of research misconduct at RIKEN be voiced by the media, academic societies or other organizations, the matter will be handled in the same way as an internal report of research misconduct.
6. If report of research misconduct relates to research conducted by a RIKEN researcher at another institution, or if the individual suspected of research misconduct has a concurrent post at another institution, RIKEN shall consult with the other institution and, if necessary, carry out a joint investigation with the other institution.

Article 11 Preliminary inquiry

The director of the Auditing and Compliance Office shall carry out a preliminary inquiry of an alleged case of research misconduct, with the cooperation of experts in the relevant research field within RIKEN. The inquiry's objectives shall be the following.

- (1) Assess whether there is a possibility that research misconduct has actually occurred
- (2) Confirm the scientific and rational grounds for the allegation of research misconduct
- (3) Check whether the duration from the time the relevant research results were made public to the time the research misconduct was reported is within or exceeds the period of time stipulated by RIKEN for keeping laboratory notebooks and other paper or electronic records of data on file, or the period of time considered reasonable for maintaining records within the relevant field of research.

Article 12 Full investigation

1. Upon completion of the preliminary inquiry of the preceding article, the director of the Auditing and Compliance Office shall promptly report the results to RIKEN.

2. Upon receiving the report, RIKEN shall promptly decide whether or not to carry out a full investigation.
3. Once it has decided to carry out a full investigation, RIKEN must notify both the informant and the subject of the allegation. If the subject of the allegation belongs to another institution, RIKEN must also notify that institution of the decision to investigate.
4. In addition to the matters stipulated in the preceding paragraph, if the research that is being investigated has been funded by another institution or organization, RIKEN must notify the funding party of its decision to investigate.
5. The informant and the subject being investigated must, upon the notification stipulated in paragraph 3 above, cooperate with the investigation.
6. In the event that RIKEN decides not to carry out a full investigation, it must notify the informant and give its reasons for the decision. In this case, RIKEN must be prepared, when requested to do so, to disclose the results of the preliminary inquiry to the informant.

Article 13 Temporary measures

1. When RIKEN decides to carry out a full investigation, it may temporarily withhold funds for the research under investigation until the investigative committee stipulated in Article 14 has completed its investigation.
2. RIKEN may implement the following measures to safeguard documents and materials relevant to the investigation.
 - (1) Suspend from work the individual or individuals under investigation in accordance with Article 25 of RIKEN's work regulations for Indefinite-term employees (2003, Reg. 33), Article 26 of RIKEN's work regulations for fixed-term employees (2003, Reg. 34), and Article 7 of RIKEN's work regulations for junior research associates (2009, Reg. 38).
 - (2) Prohibit contact between the individual or individuals undergoing investigation and other parties with a vested interest.
 - (3) Temporarily close the laboratory and other facilities of the individual or individuals undergoing investigation.
 - (4) Secure items related to the investigation.
 - (5) Any other measures considered necessary.
3. In implementing measure (3) in the above paragraph, RIKEN must make every effort to ensure that researchers other than those under investigation will be able to carry out their normal duties.

Article 14 Investigative committee

1. To carry out a full investigation, RIKEN shall establish an investigative committee that includes experts in the relevant research field from outside of RIKEN.
2. Members of the investigative committee shall be appointed or commissioned by RIKEN, other than the informant, the subject of the allegation, and any other individuals with a vested interest in the matter.
3. The chair of the investigative committee shall be appointed by RIKEN.
4. When it establishes an investigative committee, RIKEN shall notify the informant and the subject of the allegation of the names and affiliations of the committee members.
5. The informant and the subject of the allegation have seven days from the date on which they receive notice of who will be on the investigative committee to appeal their objections to any of the committee appointments.
6. Upon receipt of an appeal as described in the above paragraph, RIKEN must review the appeal and if the objection is considered to be justified, RIKEN must replace the committee member in question and report the change to the informant and the subject of the allegation.

If RIKEN decides to deny the appeal, it must explain its reasons for doing so to the informant and the subject of the allegation.

7. The Auditing and Compliance Office shall serve as the secretariat for the investigative committee.

Article 15 Method of investigation

1. Unless there are unavoidable circumstances, the investigative committee shall commence its investigation within 30 days of the decision to conduct an investigation.
2. The investigation shall involve careful review of all relevant research papers, paper-based and electronic data and other records, as well as lab notebooks, and interviews of all individuals concerned.
3. In conducting an investigation, the subject of the allegation must be given the opportunity to refute the allegations.
4. In refuting the allegations, the subject of the allegations must provide scientific evidence that the research in question was carried out with appropriate scientific methods and reported on appropriately in published research papers.
5. In addition to the provisions of paragraph 2, the investigative committee may,

if it considers it necessary, instruct the subject of the allegations to replicate experiments or may approve a request made by the informant to have the experiments replicated.

6. When replicating experiments as provided for in the preceding paragraph, the subject of the allegations must be provided with the funding, time, place, and equipment and supplies required to replicate the experiments. Provided, however, if the subject of the allegations repeatedly requests opportunities to replicate the same experiments, and the investigative committee judges such requests to be an attempt to prolong or hinder the investigation, the committee may deny such requests.
7. The investigative committee may, if it considers it necessary, extend the investigation to other research conducted by the subject of the allegations even though such research may not be directly related to the case of research misconduct.

Article 16 Reporting of investigation results

The investigative committee shall, unless there are unavoidable circumstances, report on the investigation to RIKEN within 150 days of its start, to confirm the following points.

- (1) Was there research misconduct?
- (2) If it has been confirmed that there was research misconduct, what was the nature of this misconduct, who was involved and to what extent, and what was the involvement of the authors of papers related to this research, including their contribution to the papers and their roles in the research?
- (3) If it has been confirmed that there was no research misconduct, did the individual reporting the misconduct do so with wrongful intent?

Article 17 Notice of investigation results

1. Upon receiving the investigative committee's report, RIKEN must promptly notify the informant and the subject of the allegations (including others who are found to have contributed to the research misconduct) of the results. Should the individual under investigation belong to another institution, RIKEN must also notify the head of that institution.
2. In addition to the provisions of the above paragraph, when the research under question has been paid for by funds from another institution, RIKEN shall also notify that institution of the investigation results.
3. When the informant belongs to another institution and RIKEN finds, as a

result of the investigation outlined in the preceding articles, that the individual made the report with wrongful intent, RIKEN must report this fact to the head of the individual's institution.

Article 18 Appeal

1. Individuals who have been found to be involved in research misconduct and individuals who are found to have reported research misconduct with wrongful intent have the right to appeal the findings to RIKEN within 10 days of being notified of those findings.
2. Upon receiving a request for appeal from an individual accused of research misconduct, RIKEN must notify the informant, and if the subject of the allegations belongs to another institution, RIKEN must also notify the head of that institution.
3. Upon receiving a request for appeal from an individual who has been judged to have reported research misconduct with wrongful intent, RIKEN must notify the individual who was accused of the research misconduct, and if the individual who reported the alleged misconduct belongs to another institution, RIKEN must also notify the head of that institution.
4. In addition to the provisions of paragraphs 2 and 3 above, when the research under question has been paid for by funds from another institution, RIKEN shall also notify that institution of the appeal.

Article 19 Review of appeal

1. When receiving a request for appeal as outlined in paragraph 1 of the above article, RIKEN must, unless there are unavoidable circumstances, instruct the investigative committee to review the appeal.
2. With regard to the above-mentioned review, the investigative committee must decide whether or not to reopen the case, taking into consideration the intent and reason for the appeal, and must promptly report its decision to RIKEN.
3. Upon receipt of the investigative committee's decision, RIKEN must convey the decision to the informant and to the subject of the allegations. When the subject of the allegations belongs to another institution, RIKEN must also notify the head of that institution. However, when the case has been appealed by an individual who has been found guilty of research misconduct according to the provisions of Article 16, notice of the results of the review appeal will not be given to the head of the informant's institution.
4. In addition to the above provisions, when the research under question is

paid for by funding from another institution, RIKEN shall report the review results of paragraph 2 to that institution.

5. In reopening a case of research misconduct, RIKEN shall require the individual appealing the case to submit materials that will provide grounds for overturning the inquiry decision based on the provisions of Article 16, and will request other forms of cooperation as necessary for a speedy resolution of the case. The decision to reopen the case may be retracted if the individual appealing the case does not cooperate as required.
6. In the event that the investigative committee decides that the appeal referred to in paragraph 2 above has been made to prolong the investigation or to put off the measures outlined in Article 21, RIKEN may refuse to consider any further appeals.
7. The investigative committee shall, unless there are unavoidable circumstances, report on its review of the appeal to RIKEN within 50 days of reopening the case.
8. All the provisions of Article 17 can be applied to the report of the preceding paragraph. In such a case, the terms “preceding article” used in paragraphs 1 and 3 of Article 17 may be read as “preceding paragraph”.

Article 20 Public notice of investigation results

1. Upon receipt of notice, in accordance with the provisions of Article 16 or paragraph 7 of Article 19, that research misconduct has been confirmed, RIKEN shall make the following items public.
 - (1) The name and affiliation of the individual or individuals accused of research misconduct
 - (2) The nature of the research misconduct
 - (3) The measures RIKEN has taken up to the time of making the notice public
 - (4) The names and affiliations of the members of the investigative committee
 - (5) The methods and procedures used in the investigation
 - (6) Other relevant matters
2. Upon receipt of notice, in accordance with the provisions of Article 16 or paragraph 7 of Article 19, that no research misconduct has taken place, RIKEN shall, in principle, make no public announcement. However, if the case is already publicly known or has been reported by the media, or it is clear that there were unintentional errors made in the papers published on

the research in question, RIKEN will make the results of the investigation public. In such a case, the public notice will open with a statement that no research misconduct was discovered (and will include, if relevant, the comment that errors in the published papers were unintentional), and present, in the following order, the name and affiliation of the subject of the allegation, the names and affiliations of the members of the investigative committee, and the methods and procedures used in the investigation.

3. Upon receipt of notice, in accordance with the provisions of Article 16 or paragraph 7 of Article 19, that the report of research misconduct was made with wrongful intent, RIKEN shall make public the name and affiliation of the informant.
4. In making the public notices of the preceding paragraphs, RIKEN shall allow ample time for the appeals outlined in paragraph 1 of Article 18.

Article 21 Measures to be taken when research misconduct has been confirmed

Upon receipt of notice, in accordance with the provisions of Article 16 or paragraph 7 of Article 19, that research misconduct has taken place, RIKEN shall, in addition to making the public announcement stipulated in paragraph 1 of the above article, implement the following measures.

- (1) Discipline in accordance with RIKEN regulations those individuals involved in research misconduct
- (2) Direct the individuals involved in research misconduct to retract their research papers and other relevant publications
- (3) Deny the individuals involved in research misconduct access to research funds, including competitive funds inside and outside RIKEN (excluding funds required to cover the costs of maintaining research equipment and devices), for a duration of time stipulated by RIKEN
- (4) Demand repayment of all or some of research funds already used by the individuals involved in research misconduct
- (5) Discipline in accordance with RIKEN regulations the supervisor or supervisors of the individuals involved in research misconduct, when they are found to bear administrative responsibility for the misconduct

Article 22 Measures to be taken when no research misconduct has taken place

Upon receipt of notice, in accordance with the provisions of Article 16 or paragraph 7 of Article 19, that research misconduct has not taken place, RIKEN

shall, in addition to making the public announcement stipulated in paragraph 2 of Article 20, implement the following measures.

- (1) Rescind the temporary measures stipulated in Article 13
- (2) Notify all those involved that there has been no research misconduct in the case under investigation
- (3) Implement measures to restore the good name of the subject of the allegations and ensure that the individual is not placed at any disadvantage
- (4) Other measures considered necessary

Article 23 Cooperating with the investigation

All relevant departments and personnel must cooperate with the investigation.

Article 24 Safeguarding of the informant and others cooperating with the investigation

RIKEN must ensure that the informant and others cooperating with the investigation are not placed at any disadvantage.

Article 25 Preventing information leaks

Every precaution must be taken to prevent the leakage of unpublicized data, papers, or any other scientific or technical information that should remain secret which relates to the case under investigation

Article 26 Honorariums and travel expenses for members of the investigative committee

1. Members of the investigative committee who are from outside of RIKEN may be paid honorariums and funds to cover necessary expenses.
2. Honorariums and travel expenses for members of the investigative committee shall be paid in accordance with the provisions of RIKEN's regulations on payments to committee members (2003, Reg. 69).

Article 27 Miscellaneous provisions

Matters other than those covered in these regulations that pertain to the prevention of research misconduct shall be stipulated elsewhere.