

General Outline regarding the Compliance of Research Integrity at Osaka University

*Please note that this document is a translation of the original Japanese version, and should only be used as a reference.

1. Objectives

Osaka University is a university operating under the ideal of contributing to the welfare of humanity through the development of science, culture, and high-level education. These missions, with which we have been entrusted by society, are to be supported by strong motives and achieved through research activities with enthusiasm and a strong sense of responsibility. Any conduct that could compromise these endeavors must be strictly avoided. Research misconduct, above all else, is a seriously harmful influence on the development of science and culture; good practices and ethics; and on society as a whole. Research misconduct damages the university's reputation and compromises the trust society places in us and must in no way be tolerated. The General Outline regarding the Compliance of Research Integrity aims to prevent research misconduct, respond promptly and appropriately in the case of misconduct, and prevent its recurrence.

The numerous schools, graduate schools, research institutes, and hospitals of Osaka University, with their different areas of specialization and various affiliations with society, are all required to adhere in their research to the same set of basic values, such as honesty, accuracy, and objectivity. Seeking the sound and proper development of research activities at the university, this outline lays out the basic policies regarding research misconduct to ensure impartial research is shared by the university as a whole.

2. Misconduct in Research Activities

The main types of research misconduct are identified below; however, this list is not intended to exclude other types of behavior undertaken in the course of research activities which depart from the proper norms.

- Fabrication
Recording or publishing non-existent data or research results as if they existed
- Falsification
Deliberately manipulating research materials, devices or methods; tampering with data or findings, and excluding data to record or publish findings inconsistent with the facts
- Plagiarism
Publishing others' ideas, methods or findings without appropriate citations or without including proper citations

- Other forms of misconduct

Inappropriate authorship

Including authors who have not met the criteria for authorship or excluding authors who do meet the criteria for authorship from a research paper's author list

Inappropriate article submission or publication

Creating multiple research papers with the same or similar content, and submitting them to or publishing them in different journals

Infringement on human rights etc.

Infringing on human rights, privacy or other rights and interests of other parties cooperating in research activities or parties who are the target of research activities

3. Matters Pertaining to Research Activity Compliance

To ensure sound and proper research activities and to create, on both an individual and organizational basis, a research environment in which improprieties shall not occur, all persons engaged in research activities at the university, including Osaka University faculty, staff, students, and any others using university equipment and facilities must act in compliance with the following:

- None shall engage in research misconduct.
- None shall be complicit in research misconduct.
- None shall have a third party engage in misconduct.
- When being aware that misconduct may occur, or is likely to occur, they shall make every effort to prevent it from happening.

4. Procedures for Dealing with Research Misconduct

- (1) In order to prevent research misconduct and to respond appropriately and promptly in the case that misconduct occurs, the Osaka University Research Integrity Committee (hereinafter referred to as the "Committee") has been established.
- (2) Along with creating an environment in which no misconduct shall be tolerated in all aspects of research, the Committee shall engage in education and awareness-raising activities in order to promote research ethics.
- (3) The Committee shall establish contact points regarding allegations of research misconduct in the Administration Bureau as well as in the administration office of each department, institute, and center. In the case that an incident of misconduct is reported, the Committee shall decide whether or not to initiate an investigation.

Also, where necessary, the Committee shall instruct the Deans or Directors most

closely relevant to undertake preliminary investigations and formulate appropriate responses.

- (4) Based on the findings of the preliminary investigation, the Committee shall undertake a formal investigation if misconduct is suspected.
- (5) Based on the findings of the formal investigation, the Committee shall review whether or not misconduct has taken place, and shall reach its decision.
- (6) As well as obtaining testimonies from the complainant and the respondent at each stage of the preliminary and the formal investigation, the Committee shall accept written or verbal explanations from the respondent.
- (7) During the process of the investigation, the Committee shall take into consideration the reputation and privacy of the complainant and the respondent. The Committee shall also pay due attention to the proper management of the information obtained in the course of the investigation.
- (8) All departments, institutes, and centers shall take measures, such as to establish effective governance to ensure research integrity, to prevent misconduct in research activities from occurring. They shall also respond promptly and appropriately in the event of any research misconduct.