

Enacted March 14, 2007.

These Guidelines, based on the Tokyo University of Agriculture and Technology Charter and the Tokyo University of Agriculture and Technology Code of Conduct for Researchers, indicate matters observed by academic/research staff, researchers, technical staff, administrative staff, research students, faculty students and graduate school students etc. of Tokyo University of Agriculture and Technology (hereinafter referred to as "TUAT") involved with research (hereinafter referred to as "TUAT Researchers etc."), aiming to raise the standard of reliability and fairness in the activities of TUAT Researchers etc.

1. Definition of Terms

- 1) "Research" includes all activities involved with research design, consent application, implementation, announcement, reporting and examination etc.
- 2) "Researchers' etc. ethics" indicates a code of conduct that provides a social model in relation to research, and prevents the kind of dishonest behavior that substantially deviates from societal norms such as fabrication, falsification, plagiarism or illicit usage etc.

2. Compliance with Laws and Regulations

- 1) In implementing their research and incurring research expenditures, TUAT Researchers etc. comply with all laws and ordinances and relevant regulations.

3. Designing and Applying for Research

- 1) TUAT Researchers etc. should not posit exaggerated results detached from the reality of the research concerned, seeking to design and apply for research using a research plan that attempts to deceive the examiner's through falsehoods and rhetoric.
- 2) In designing and applying to undertake research, TUAT Researchers etc. do not forge or fabricate performance and results etc. recorded in documentation.

4. Safety Management for Experiments

- 1) When using instruments, equipment and chemicals etc. in the course of performing an experiment, TUAT Researchers etc. should maintain their own health and safety by having sufficient knowledge, and when in the role of an instructor, should be mindful of the need to educate others on health and safety.
- 2) Used liquids, chemicals and materials etc. that arise in the course of performing an experiment should be disposed of in a manner that leaves no adverse impact on the environment.
- 3) TUAT Researchers etc. performing an experiment requiring high-level knowledge such as experiments that utilize radiation or pathogenic microorganisms, genetic modification experiments or experiments using animals etc. must comply with all relevant laws, ordinances and regulations, must maintain their own health and safety by having sufficient knowledge, and when in the role of an instructor, should be mindful of the need to educate others.

5. Proper Handling of Information and Data

- 1) Measures should be devised for proper management of materials, information and data etc. collected as necessary in the course of research to prevent loss, omissions and falsification etc.
- 2) Materials, information and data etc. constituting the basis for disclosure of research results should be stored for the period as required pursuant to the relevant contract etc. or for an appropriate period that enables the responsibility to explain the research results to be properly discharged.
- 3) In the case of research that involves receiving provision of personal information and data etc. related to a person's actions or their mind and body, the procedures for informed consent should be applied, explaining the purpose and methods of the research to the provider of such personal information and data etc. in an easily understood manner in order to obtain their clear consent.
- 4) Personal information and data collected for the purpose of performing research must be in conformance with TUAT's Privacy Policy, handled appropriately paying sufficient consideration of the need to prevent identification

of an individual.

6. Proper usage of Subsidies and Commissioned Research Expenses etc.

- 1) Research expenses should be applied appropriately in the implementation of research, and there should be no kind of dishonesty involved in the form of any kind of instruction or complicity etc. toward illicit usage of research expenses.
- 2) Research expenses acquired in the form of externally sourced funds such as a scientific research expenses subsidy etc. should be used in compliance with the relevant regulations including the Act concerning Proper Implementation of Budgets Using Subsidies etc. and Scientific Research Expenses Subsidy Handling Regulations etc., and may not be diverted toward any purpose that deviates from the research plan as applied for.

7. Disclosure and Reporting of Research Results

- 1) In disclosing and reporting the results of research there may be no fabrication through disclosure of nonexistent data, no falsification through manipulating or altering data to suit the circumstances or plagiarism through using research results and data of other researchers inappropriately without citing the source.
- 2) When prior research is reviewed and contributes to current research being performed, that prior research should be properly cited.
- 3) Papers or manuscripts reporting on the same research results may not be posted in a plurality of research publications.
- 4) The co-authors of a paper consist of all and only those members who make a significant contribution to completion of the paper and bear joint responsibility for the contents of the paper. Mention of joint names simply as a matter of courtesy or names of those who are unable to answer questions about the content of the paper should be avoided.
- 5) The rights of joint researchers and co-authors of a paper should be respected and their clear consent obtained before using the results of their research.
- 6) When research results are announced through mass communication means etc., the announcement should be made based on clear research results, and when required due to contractual terms, the appropriate procedures should be implemented.

8. Impartial Examination

- 1) In examining assistance funds or a subsidy for research either of TUAT or an external organization, or in the examination or review of a paper to be published in an academic journal or research publication etc., TUAT Researchers etc. should conduct their inquiries in a fair and impartial manner, without prejudice to the subject and in compliance with evaluation standards and examination guidelines etc.
- 2) Any information or content learned in the course of an examination or review of assistance funds or a paper etc. may not be used improperly or leaked to any other party.

9. Conflict of Interest

- 1) When working in Industry-Academia-Government Collaboration etc., TUAT Researchers etc. should be careful to avoid the emergence of any wrongdoing through conflict of interest or any conduct that may injure the reputation of TUAT.
- 2) In the performance of commissioned research or joint research, researchers should endeavor to avoid any wrongdoing due to the relationship of interests existing between themselves and the other party in the commissioned or joint research.