

# ○Hosei University Research Ethics Regulations

Regulation 1140

Partially revised April 1, 2015

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## Introduction

In accordance with its traditional ethos encapsulated in its founding principles of Liberty and Progress, and in order to accomplish the social and public-service mission of a private university in its capacity as an independent educational and research institution, Hosei University (hereinafter “the University”) laid down the Hosei University Administrative Code of Ethics in 1996. On the basis of that code, the highest ethical standards are required of academic research activity at the University.

## Article 1 Purpose

In order to ensure the integrity and transparency of academic research at the University and its resultant reliability, the University hereby establishes its ethical standards for the conduct and behavior required of researchers in their research activity in the course of pursuing their research.

## Article 2 Definition of researchers

In these regulations, researchers (hereinafter “Researchers”) include University faculty members and research staff, and also all other persons engaging in research activity at the University. Students in undergraduate departments and graduate schools are also deemed to be Researchers.

## Article 3 Obligations of researchers

1. Researchers must comply with all of the following.

- (1) The Hosei University Administrative Code of Ethics
- (2) The Regulations for Preventing and Responding to Misconduct in Research Activity
- (3) The Hosei University Guidelines for Preventing Misconduct Relating to Public Research Grants, Etc.

2. Researchers shall not commit misconduct in their research activities or any other improper act, and must endeavor to prevent misconduct by others.

3. Researchers shall attend training or education courses, etc., in researcher ethics and in the laws and regulations relating to research activities.

4. In order to ensure the means of proving the legitimacy of research activities and to guarantee the possibility of verification by third parties, researchers must, in principle, preserve and manage research materials such as documents, numerical data, and images for 10 years from the time of publication of papers or other research results based on said research materials. In addition, samples (experimental samples and specimens), equipment, and other "objects" must be properly preserved and managed for five years in principle. All of the above must be disclosed when the necessity and reasonableness of disclosure is recognized. However, this does not apply to cases

where there are physically unavoidable circumstances, such as limited storage space, or to items that are inherently difficult to preserve or store (unstable substances or organisms, samples that are consumed in the experiment itself, etc.), or items for which preservation would be very costly.

5. Researchers must be aware that academic research is dependent on the trust of and mandate by the public, and on the basis of high ethical standards founded on their individual cognizance of that fact, they must act in good faith in a conscientious and principled manner.

6. Researchers must respect personal dignity and fundamental human rights.

7. Researchers must comply with bioethics, the ethics of all scholarship relating to their investigative and research activities, and with social norms such as the prohibition of harassment.

8. Researchers must respect specialist research in fields that differ from their own, and have mutual respect for scholarly standpoints of other researchers as mutually independent researchers of equal standing.

#### Article 4 Legal compliance

1. Researchers must comply with internationally and domestically recognized standards, protocols, treaties, and other such agreements, domestic laws, regulations, and public notices, etc., and internal University rules and regulations.

2. Researchers must, when handling items that are potentially detrimental to the environment or to safety (radiation, radioisotopes, genetically modified organisms, non-native species, poisonous and deleterious substances, environmentally polluting substances, etc.) in the course of conducting research, adhere to all related laws and regulations, internal University rules and regulations, and the guidelines and other rules of related government agencies, academic societies, and other such bodies.

#### Article 5 Prevention of misconduct in academic research

Researchers must not commit or be complicit in the committing of such acts as fabrication, falsification, or plagiarism in research activity of any kind, they must be thorough in ensuring proper handling of data obtained from their research and investigations, and must endeavor to create a research environment that is conducive to preventing misconduct or any other such act.

#### Article 6 Appropriate use of research funds

Researchers must, when conducting research and using research funds, have the utmost respect for matters such as the purpose for which those funds have been granted for research, and they must endeavor to use the funds appropriately in compliance with internal University rules and regulations and with the conditions and rules of use that are stipulated individually for each allocation of research funds.

#### Article 7 Appropriate management of research organization

If collaborative researchers are involved, Researchers shall regard them as being equal partners, shall reciprocate respect for their scholarly standpoints, and shall interact in good faith with the collaborative researchers, members of research projects, and others cooperating in research. In addition, if students are also involved in research activity, they must be treated with the greatest consideration in order to ensure that they are not unduly disadvantaged in any way.

#### Article 8 Information and data collection, harvesting, and management

When collecting and harvesting information and data relating to their research, Researchers must employ methods and techniques that are scientifically and generally accepted as being appropriate.

#### Article 9 Informed consent

1. Researchers must, with regard to the subjects of research and other people cooperating in the research, comply with all related rules and regulations such as laws, regulations, and guidelines and provide for their protection.
2. Researchers must, if research is conducted after they have been provided with personal information and data concerning matters such as personal behavior, creed, beliefs, assets and property status, mind and body, explain such matters as the purposes and methods of the collection thereof to each research subject who has provided the information and data and to their guardian or legally authorized representative, and in principle must obtain their consent in writing. It must also be explained that withdrawal of consent is possible and that they will not suffer any disadvantage in the event of so doing. The same applies if information or data is provided by organizations or other such bodies.
3. Researchers must, with regard to the publication of research results derived from having obtained the aforesaid information or data, in principle obtain the prior consent of the research subject.

#### Article 10 Appropriate announcement and authorship or research results

1. When announcing research results, Researchers must pay careful attention to ensuring the academic reliability of the research data and grounds, and must make fair and appropriate citations.
2. When publishing a treatise or other such academic paper, the customary practices and rules of individual research organizations and fields, academic societies, and academic journals, etc., must be fully respected with regard to such matters as authorship, the use of relevant data already published, and copyrights.

#### Article 11 Protection of personal information

Researchers must endeavor to protect other people's personal information gathered in the course of their research, and must handle it appropriately in accordance with internal University rules and regulations.

## Article 12 Management of research-related equipment, chemicals, etc.

1. Researchers must comply with internal University rules and regulations, guidelines, and other requirements with regard to equipment, chemicals, and other items used in their research, and must manage them appropriately and safely.
2. Researchers are responsible for the disposal of residues, spent chemicals, and other such items that have come into being in the course of research.

## Article 13 Fairness of reviews

When undertaking peer reviews of other people's research papers, etc., or examining other research results, Researchers must harbor no prejudices with regard to the persons being assessed, and must make a fair examination based on the relevant examination criteria and their own knowledge and expertise.

## Article 14 Appropriate handling of conflicts of interest

1. Researchers shall take great care with regard to the occurrence of conflicts of interest to their own research activities, and if such a situation arises, they shall address it appropriately in accordance with the Hosei University Conflict of Interest and Conflict of Commitment Regulations.
2. With regard to the publication of the results of research financed by external funding, in principle the source of the external funding shall be specified in accordance with the intent of the Hosei University Conflict of Interest and Conflict of Commitment Regulations.

## Article 15 Obligations of the University

1. The University shall take necessary measures to ensure that these regulations are known thoroughly within the University, to increase awareness of research ethics, and to ensure proper management of research activities and of research funds.
2. The University shall respond to complaints, consultation requests, etc., by persons who have suffered undue or unfair treatment related to research.
3. If an inappropriate act is deemed to have been committed while research activities are being conducted, the University shall promptly determine its cause and take appropriate remedial measures, also fulfilling its accountability with regard to the incident both within the University and externally.
4. In order to achieve the objectives of the first three items of this article, the University shall establish the Hosei University Research Ethics Committee.
5. Regulations relating to the Hosei University Research Ethics Committee are stipulated separately.

6. Regulations relating to Hosei University's Ethics of Research Involving Human Subjects are stipulated separately.

#### Article 16 Secretariat

All administrative duties relating to these regulations are handled by the Research and Development Center.

#### Article 17 Revision or rescission of these regulations

Revisions to or the recession of these regulations are to be decided on by the University president after deliberation by the Research Ethics Committee.

#### Supplementary Provisions

1. Effective date of these regulations: November 27, 2013.
2. These Regulations shall be enforced on April 1, 2015, after partial revision.
3. These Regulations shall be enforced on December 14, 2022, after partial revision.