

# The Development of Codes, Standards, and Guidelines in Japan

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# Two famous “Hand of God” in Japan

- The goal by Diego Maradona during the 1986 FIFA World Cup quarter final between Argentina and England



# Two famous “Hand of God” in Japan

- That of renowned amateur archaeologist Fujimura Shinichi; he planted stone tools by his “Hand of God” at the Kamitakamori excavation site (Nov 2000)
- It was widely reported in the media as Japan’s Worst Archaeology Scandal; his fabrication upset the Japan’s earliest inhabitants and lost the public trust for Archaeology

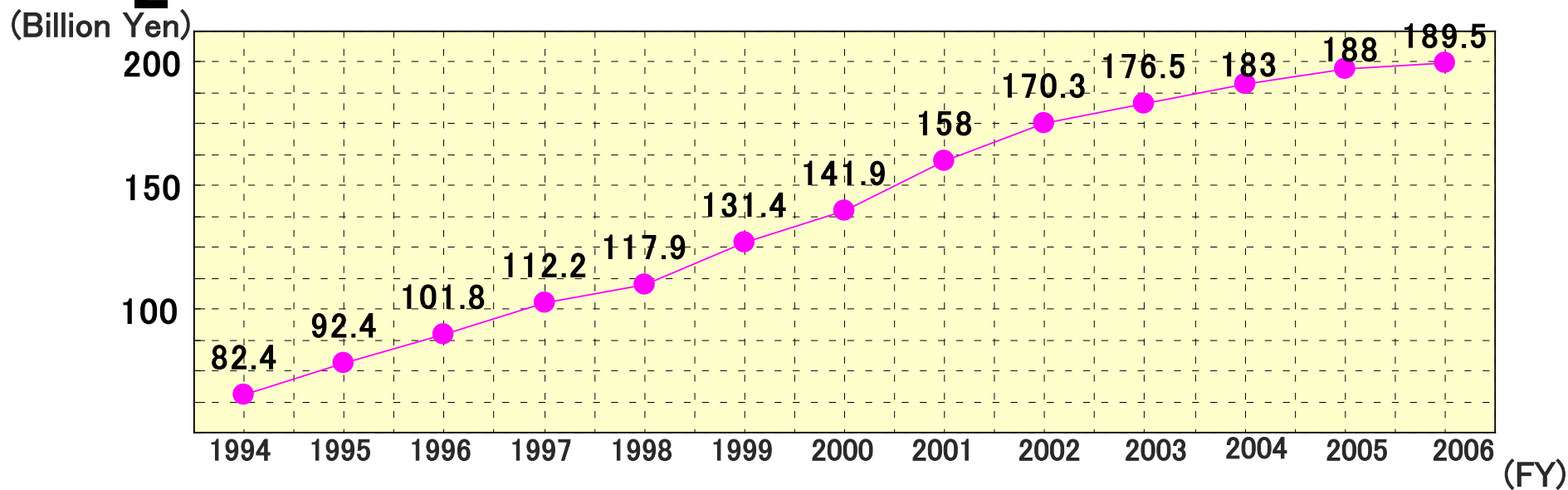


# Introduction: Research Misconduct in Japan

- Domestic/overseas research misconduct (mainly FFP) frequently occurring and widely reported in Japan
- Japan's research environment getting highly competitive over the past decade, increasing incidences of research misconduct

**Public/academic need for actions to ensure research integrity and deal with research misconduct**

# Expanding Grant-in-aid for scientific research (KAKENHI)

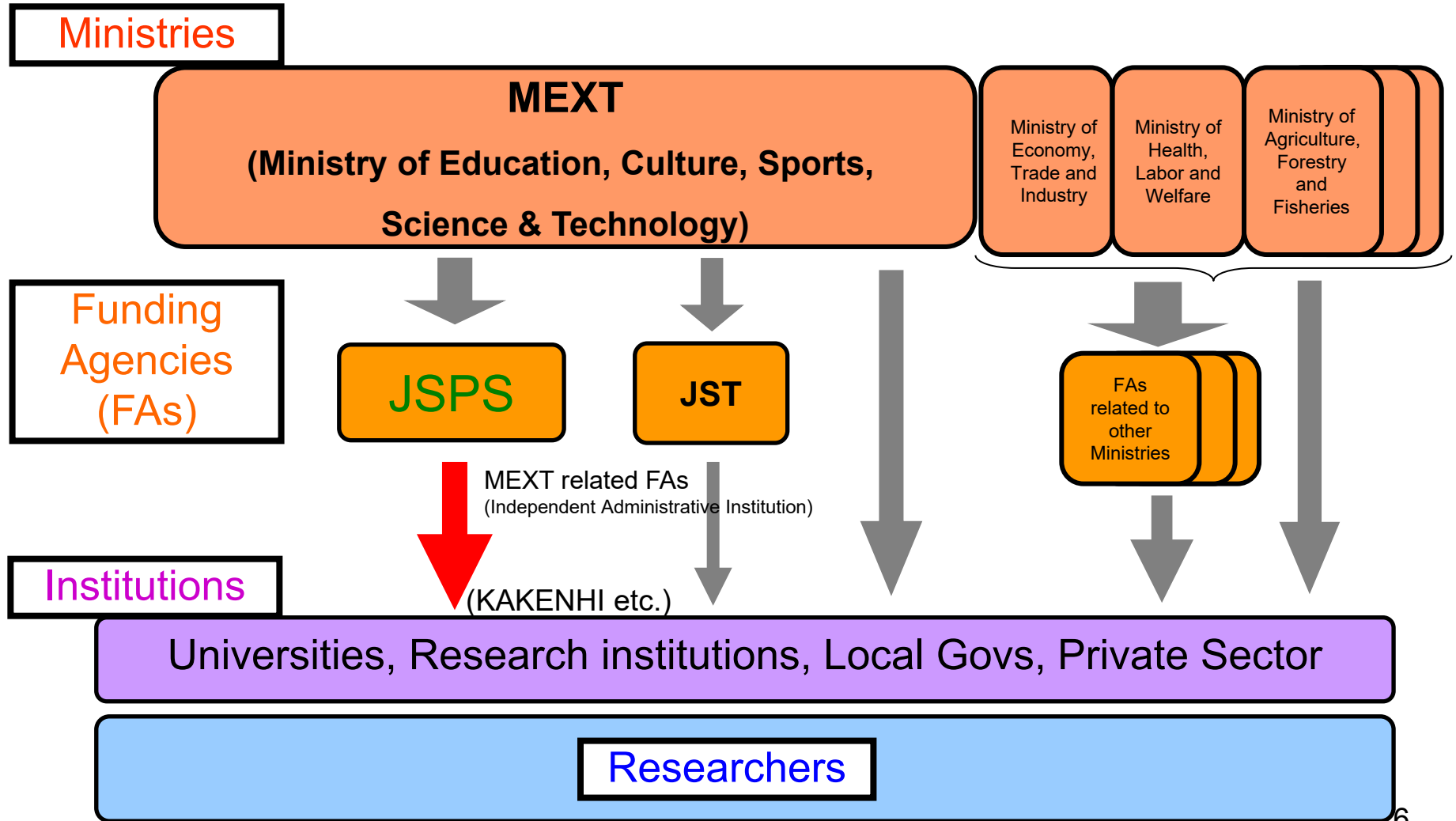


FY	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006
Budget (billion Yen)	82.4	92.4	101.8	112.2	117.9	131.4	141.9	158.0	170.3	176.5	183.0	188.0	189.5
compared with the previous fiscal year (%)	12.0	12.1	10.2	10.2	5.1	11.5	8.0	11.3	7.8	3.6	3.7	2.7	0.8
*index	—	—	—	—	—	—	1.00	1.11	1.20	1.24	1.29	1.32	1.34

(\*) 1.00 in the index is as same rate as 1990 fiscal year's (2<sup>nd</sup> S&T Basic Plans were established in 1991 fiscal year)

# Research Funding System in Japan

Council for S&T Policy (CSTP): Basic principles and overall coordination



# Recent Actions against Research Misconduct in Japan

## Council for S&T Policy (CSTP)

- **Statement for actions against research misconduct**  
(Feb 2006)

requires each level of research (funding)  
to take action against misconduct

→ Ministries, FAs (e.g., JSPS):

rules/guidelines to deal with misconduct in  
grants/funds usage

→ Universities and Institutions: rules/guidelines against  
research misconduct

→ Researchers: autonomous code of conduct

# Actions by Ministries and FAs

- MEXT: Regarding the Guidelines for Responses to Research Misconduct (Aug 2006)  
→ applied to competitive funds of MEXT and related FAs

## *Structure of the report*

Part 1: Basic Principles Concerning Research Misconduct

Part 2: Guidelines for Responses to Research Misconduct  
Pertaining to Research Supported by Competitive Funding

1. Purpose of the Guidelines
2. Definition of Research Misconduct
3. Receiving Allegations and Other Information
4. Investigation of Allegations and Other Information
5. Measures Applicable to Informants and Subjects of Allegations
6. Actions by Funding Institutions against Persons Culpable of Misconduct



# Actions by Ministries and FAs

- MEXT: Regarding the Research Misconduct

→ applied to com

Based on the guidelines, MEXT-related FAs have made their own rules/guidelines regarding research misconduct

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# Actions by Universities and Institutions

- Each institution has made/started to make
  - Ethical rules for research integrity
  - Guidelines against research misconduct

## Examples:

- The Institute of Physical and Chemical Research (RIKEN)
  - Statement on Scientific Misconduct and its Prevention (2004)
  - Basic Policies Regarding Research Misconduct (2004)
- Waseda University
  - Guidelines for promoting research ethics (2007)
  - Rules for prevention of research misconduct (2007)

# Actions by Researchers/Research Communities

Autonomous codes of conducts:

- Science Council of Japan (SCJ):  
Statement: Scientists' Code of Conduct  
(October 2006)\*

\* <http://www.scj.go.jp/ja/info/kohyo/pdf/kohyo-20-s3e-1.pdf> (in English)

- Academic societies (but not all):  
Individual ethical rules/guideline against  
misconduct

# JSPS actions for dealing with research misconduct

- Guidelines for dealing with research misconduct (Dec 2006) related to grants and programs supported by JSPS
- Office for receiving allegations

## Details of guidelines:

- Applied to all researchers and institutions related to JSPS's grants and programs
- Scope of misconduct: mainly FFP

# [ Allegations ]

- Normally accepted by the institutions to which the subject is affiliated
- JSPS accepts only allegations in which
  1. Researcher(s) / research group information (name, affiliation, etc.) is provided along with details of the misconduct
  2. Scientific evidences is given of the research misconduct
- As a rule, informants should be named (may be anonymous in certain situations)



# Investigation of allegations

- Normally investigated by an investigative committee appointed by the subject institution
- Allegations accepted by JSPS are referred to subject institution
- In the investigative process, the institution cooperates with other related organization
- Institution reports results of its investigation to JSPS



# Decision on actions resulting from investigations

- Based on **the report from the institution**, a committee for deliberating actions within JSPS decides the disciplinary actions to be taken
- Persons subject to actions:
  - Type 1.** Authors (including co-authors) of publications related to the research involved
  - Type 2.** Persons involved in the ascertained research misconduct, but not the authors
  - Type 3.** Authors largely responsible for the publications involved, but who did not commit misconduct

# Actions to ascertained misconduct

- **Termination** of related funds; **return** of all funds or unused portions to JSPS
- **Rejection of applications** whose PI was involved in misconduct
- **Exclusion from future applications** for 2-10 yrs (Types **1** and **2**) / 1-3 yrs (Type **3**)



# Dealing with the research misconduct related with JSPS grants and programs



JSPS

- 1'. Refer to the allegations to the institutions and ask to investigate
2. Examines the report in the committee for deliberation of actions, and discusses the actions to the involved persons

Committee for deliberating actions

Cooperation

Other funding agencies

MEXT

Institution(s) to which the subject of allegation is affiliated

1. Investigates the allegation and reports the result to JSPS

(Decides the actions to the alleged researcher(s) according to the rules of the institution)

Investigative Committee

Cooperation

Academic societies, Other institutions

Require investigation

Report the result

Decide the actions

# Future work against research misconduct in Japan

- Systems for **investigating and determining misconduct** (Are current rules/guidelines best?)
- International actions and collaborations
  - Need for regular international discussions and common actions
- How to eliminate misconduct and ensure research integrity?
  - **Ethics of researchers**
  - **Ethics of research communities**