

Aichi Public University Corporation Code of Research Ethics

The Aichi Public University Corporation Code of Research Ethics is established by the Aichi Public University Corporation (hereinafter referred to as the "Corporation") as the ethical norms and research ethics required of all Researchers and Clerical Employees of Aichi Prefectural University and Aichi University of the Arts, which are operated by the Corporation (hereinafter referred to as the "Universities"), for the purpose of prevention of fraudulence in Research Activities and unauthorized use of research funds, thereby assuring the reliability and fairness of academic research.

Article 1: Definitions

(Target Groups)

1-1 "Researchers" shall refer to teachers, research workers, students in the undergraduate and graduate schools, and other individuals engaged in research activities in the Universities.

1-2 "Clerical Employees" shall refer to individuals engaged in operations and management of research funds, including competitive funds.

(Research Activities)

2-1 The term shall refer to any act of creating new knowledge on the basis of one's own reflection, inspiration and ideas, and establishing a system of knowledge through the use of facts and data as material, obtained through observation and experiment, taking into consideration achievements of past researchers.

2-2 The term shall also refer to creative and expressive activities in various fields of art.

Article 2: Researchers' and Employees' Duties

(Autonomy and Self-discipline of Researchers)

1-1 Fraudulent activity in Research Activities shall be prevented as an act of self-regulation on the basis of the autonomy and self-discipline of Researchers and research organizations. Leaders who train young Researchers, and students seeking to become Researchers, shall recognize autonomy and self-discipline when providing guidance.

1-2 In joint research frameworks, each Researcher's role and responsibility shall be clarified, and appropriate support and advice shall be given, so that young Researchers can perform independent Research Activities, and the Research Activities and the results thereof shall be appropriately confirmed by the research representative.

(Participation in Compliance Training)

2 Researchers and Clerical Employees shall participate in compliance training given by the Corporation relating to prevention of fraudulence in Research Activities, and the operation and management of research funds.

(Submission of Written Covenants)

3 Researchers and Clerical Employees shall, at the beginning of each fiscal year, put their signature to, and submit a written covenant in the designated formats (Forms 1 to 3), pledging (i) to observe the Code of Research Ethics, (ii) not to engage in fraudulent activity, and (iii) to accept disciplinary action by the Corporation and assume legal responsibility in the event of fraudulent activity, in connection with Research Activities and the use of research funds.

Article 3: Prevention of Fraudulence in Research Activities

(Prohibition of Fraudulence)

1 When Researchers apply for, perform, or report any research, or publish their research results, no intentional forgery (any act of creating data or research results that do not exist), tampering (any act of altering research materials, equipment and processes and processing results obtained from data or Research Activities into results that are not true), plagiarizing (any act of misappropriating other Researchers' ideas, analysis methods, data, research results, papers and terms without said Researchers' consent or proper copyright notice), duplicate publication (any act of posting substantially the same paper as ones already published, or that are being posted in another academic journal, etc.), or inappropriate authorship (any act of not properly disclosing the author of the paper) shall be permitted.

(Appropriate Method of Collecting Materials, etc.)

2 Researchers shall collect materials, information and data, etc., required for research by using methods that are deemed academically and generally appropriate.

(Protection of Personal Information)

3 In light of the importance of privacy protection, Researchers and Clerical Employees shall not disclose to any third party the materials, information and data, etc., which are collected for research and are personally identifiable, without the consent of the relevant individual.

(Management of Materials, etc.)

4 Researchers and Clerical Employees shall take appropriate measures for preventing loss, leakage or alteration, etc. of the materials, information and data, etc., collected or created for the purpose of research. In addition, Researchers and Clerical Employees shall properly retain the materials, information and data, etc., collected or created for

the purpose of research (hereinafter referred to as the "Materials, etc.") after the start of the research, store the Materials, etc., for a reasonable period of time after the publication of papers, etc., so that the research results can be verified by third parties and, if necessary, disclose the Materials, etc., giving consideration to the protection of personal information. The period and method of such storage shall be separately determined by the Universities.

Article 4: Prevention of Unauthorized Use of Research Funds

(Basic Guideline for Handling Research Funds)

1 Always keeping in mind that the source of research funds includes student tuition, subsidiaries and operating support funds granted by the national and local governments, grants-in-aid from foundations, etc., and other donations, Researchers and Clerical Employees shall make efforts to use research funds in an appropriate manner, so as to correspond to the mandate accompanying such funds.

(Increased Awareness of Use and Execution of Research Funds)

2-1 Researchers shall be aware that even an adopted research task suggested by the Researchers on their own initiative is supported by public funds, and such funds require management by the organization.

2-2 Clerical Employees shall be aware that they are in a position to use their technical competence to ensure that research funds are properly executed, and to conduct clerical work for the purpose of achieving efficient carrying out of research.

(Prohibition of Use of Research Funds for Other Purposes)

3 Researchers shall use the research funds provided only for expenses required for their research.

(Compliance)

4 Researchers and Clerical Employees shall comply with laws and regulations, as well as the rules of the Universities, in connection with the use of research funds and management of affairs relating to such use.

(Appropriate Management of Research Funds)

5 Researchers and Clerical Employees shall always examine the situation of the execution of the budget so as to confirm that it conforms to the actual situation.

(Cooperation with Internal Audit)

6 Researchers and Clerical Employees shall cooperate with, and respond in good faith to, an internal audit in connection with the use of research funds.

Article 5: Responsibility System of the Corporation, for Ensuring Research Ethics

(Responsibility System Chart)

1 The responsibility system chart of the Corporation for prevention of fraudulence in Research Activities and research funds shall be as shown in Exhibit 1.

(Management Responsibility for Prevention of Fraudulence in Research Activities)

2-1 The President of each of the Universities shall be the chief administrative officer for prevention of fraudulence in Research Activities (hereinafter referred to as the "Chief Administrative Officer for Prevention of Fraudulence in Research Activities"), and the Vice-President shall be directed by the President to act as an assistant to perform general adjustment in connection with such prevention (hereinafter referred to as the "Assistant Chief Administrative Officer for Prevention of Fraudulence in Research Activities"). In addition, the Director of the Academic Research and Information Center in Aichi Prefectural University, and the Director of the Art Information Center of Aichi University of the Arts, shall accept the roles of Supervisor for Prevention of Fraudulence in Research Activities, having substantial responsibility and authority to supervise the Universities as a whole.

2-2 The President of the Corporation shall be the chief administrative officer for prevention of unauthorized use of research funds in the Corporation (hereinafter referred to as the "Chief Administrative Officer for Prevention of Unauthorized Use of Research Funds") and the Secretary-General shall be directed by the Chairperson to act as an assistant to perform general adjustment in connection with such prevention (hereinafter referred to as the "Assistant Chief Administrative Officer for Prevention of Unauthorized Use of Research Funds"). The Director of the General Administration Department shall accept the role of Supervisor for Prevention of Unauthorized Use of Research Funds, having substantial responsibility and authority to supervise the whole Corporation, and the Manager of the Personnel Section shall act as an assistant to perform practical adjustment (hereinafter referred to as the "Assistant Supervisor for Prevention of Unauthorized Use of Research Funds"). In addition, the Directors of the Administrative Divisions of the Universities shall be the "Administrative Officers for Prevention of Unauthorized Use of Research Funds", who shall be responsible for management of research funds of the Universities as a whole. The Administrative Officers for Prevention of Unauthorized Use of Research Funds shall adjust collaboration of the Supervisor for Prevention of Fraudulence in Research Activities and the Supervisor for Prevention of Unauthorized Use of Research Funds.

(Responsibility for Promoting Compliance)

3-1 As for the Universities, the Deans of the faculties shall be the Compliance Promotion Officers responsible for promoting compliance for the purpose of prevention

of fraudulence in Research Activities, reporting to the Supervisor for Prevention of Fraudulence in Research Activities. In centers where Researchers are assigned, or which receive research funds, the Director of the center shall be the Compliance Promotion Officer.

3-2 As for the Corporation, the Directors of the Finance and Operations Department and of the General Administration Division shall be the Compliance Promotion Officers responsible for promoting compliance for the purpose of preventing unauthorized use of research funds, reporting to the Chief Administrative Officer for Prevention of Unauthorized Use of Research Funds. The Managers of the Management Planning Section, the Contract Section, the Accounting Section and the Administration Section shall aid the Compliance Promotion Officers as Assistant Officers.

(Monitoring System for Research Activities)

4-1 The Supervisor for Prevention of Fraudulence in Research Activities shall monitor promotion and proper execution of compliance in connection with prevention of fraudulence in Research Activities.

4-2 The Corporation Audit Office shall monitor proper execution of Research Activities, including the monitoring system mentioned in the preceding paragraph, after obtaining information on relevant factors for occurrence of fraudulence in Research Activities.

(Monitoring System for Execution of Research Funds)

5-1 The Supervisor for Prevention of Unauthorized Use of Research Funds, and the Assistant Supervisor, shall monitor promotion and proper execution of compliance in connection with prevention of fraudulence for research funds.

5-2 The Corporation Audit Office shall monitor proper execution of contracts, and accounting and travel expenses in connection with research funds, including the monitoring system mentioned in the preceding paragraph.

Article 6: Responsibility of the Corporation for Assurance of Research Ethics

(Establishment and Implementation of the Prevention of Fraudulence Plan)

1-1 The Supervisor for Prevention of Fraudulence in Research Activities, and the Supervisor for Prevention of Unauthorized Use of Research Funds, shall establish a concrete plan for prevention of fraudulence under the basic policy, and report on the progress of implementation thereof to the Chief Administrative Officers.

1-2 The Supervisor for Prevention of Fraudulence in Research Activities and the Supervisor for Prevention of Unauthorized Use of Research Funds shall analyze the factors leading to fraudulence in Research Activities and unauthorized use of research funds, report the factors to the Chief Administrative Officers, and exhibit appropriate

leadership in prevention thereof.

(Provision of Compliance Training)

2-1 The Supervisor for Prevention of Fraudulence in Research Activities, and the Supervisor for Prevention of Unauthorized Use of Research Funds, shall provide compliance training annually, for improving the research ethics of Researchers and Clerical Employees.

2-2 The Compliance Promotion Officers shall monitor whether the Researchers and Clerical Employees of the division they manage and supervise receive such compliance training, conduct Research Activities appropriately, manage and execute competitive funds, etc., and shall report the situation to their Supervisor, and recommend improvement as necessary.

(Response to Fraudulent Activity)

3-1 The Universities shall establish Rules for Handling Fraudulence in Research Activities, and form a research ethics committee for the purpose of responding to fraudulence in Research Activities.

3-2 The Corporation shall establish Rules for Handling Unauthorized Use of Research Funds, for the purpose of responding to unauthorized use of research funds.

3-3 The research ethics committees of the Universities shall decide on a case of the Researchers' fraudulence in Research Activities and unauthorized use of research funds, and the Corporation Staff Disposition Review Board shall decide on a case of the Clerical Employees' unauthorized use of research funds.

Supplementary Provision

This Code of Research Ethics shall take effect as of March 13, 2015.