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Keio University Code of Research Ethics ^(Note 1)

In recent years, research fields have become increasingly interdisciplinary and international, and collaboration in research has become more commonplace at universities and research institutions in Japan and abroad. As research environments are expanding in more complicated ways than ever before, those engaged in research must renew their awareness of the significance of the direct and indirect influences that their research activities have on society, life, and the environment in the course of such activities. Based on this awareness, Keio University, as a private institution of higher learning, hereby stipulates the following code of ethics for researchers while respecting their independence and pursuit of truth and placing emphasis on harmonious coexistence with society.

1. Significance of Research

Those engaged in research at Keio University shall uphold the Keio tradition of *jitsugaku*, or practical learning in pursuit of truth, and shall create new knowledge and value by engaging in advanced research, so that the results of their research shall contribute to the development of humankind and society.

2. Protecting Research Subjects

Those engaged in research at Keio University shall bear in mind any risk of harm to any persons, living organisms, or natural environment involved in their research; and give due consideration to the human rights of all research participants and to the welfare of all animals in experimental research; and to ensure the safety of humankind and society and to preserve the natural environment.

3. Ensuring Fairness and Transparency of Research Activities

Those engaged in research at Keio University shall always examine the scientific and ethical appropriateness of research activities, place emphasis on fairness and transparency in the process of conducting such activities, administer property in accordance with the rules, and fulfill the accountability responsibility.

4. Respecting Those Involved in Research

Those engaged in research at Keio University shall respect the rights of all persons involved in their research and shall implement research fairly, without any discrimination or exploitation.

5. Promoting Research Exchange

Those engaged in research at Keio University shall be independent, but not isolated, and shall endeavor to realize free and open exchange and cooperation with researchers and students around the world in the process of conducting their research activities.

Keio University Research Ethics Committee
Established on March 19, 2009

Note 1: "Keio University" in this code of research ethics refers to the Keio University educational corporation, which includes Keio University and its affiliated schools.

Explanation of the Keio University Code of Research Ethics

Preamble

The environment surrounding researchers is changing significantly and in complicated ways. Against this backdrop, there is a need to renew a shared awareness among those engaged in research concerning various aspects of research. In light of the developments in Japan and abroad, Keio University established the “Keio University Code of Research Ethics” (hereafter referred to as the “Code”) on March 19, 2009, as a university-wide standard that provides guiding principles for research for those engaged in research at Keio University.

The Code briefly describes, in general terms, what all researchers should observe when conducting research activities at Keio University, regardless of the contents of their research. When conducting research, they may be restricted by laws, regulations, and other rules in various aspects, including subjects and methods. For instance, when handling radioactive substances, there are national rules providing for the qualifications of users, location of storage and use, and disposal. Researchers should be thoroughly acquainted with the laws, regulations, and guidelines that they must comply with, and should carry out individual research in accordance with such laws and regulations.

Numerous laws, regulations, guidelines and rules, enacted for various perspectives, exist in various fields in and outside of Keio University. The Code has been prepared as a basic code of conduct to which those engaged in research at Keio University should refer. Please use this explanation as an aid in understanding the Code as it is intended to clarify the meanings of the succinct terms used in the Code and the contents which may be difficult to understand.

What the Term “Those Engaged in Research at Keio University” Means in the Code

The term “Those engaged in research at Keio University,” refers to all persons engaged in research activities at Keio University, including all Keio faculty, staff, and researchers, regardless of their occupational categories; their status such as, tenured or non-tenured, full-time or part-time; or whether or not they directly receive a salary from Keio University. They are simply called “researchers” in the preamble.

In the event that students are engaged in research, although their academic advisors assume ultimate responsibility for the student’s research, students are also urged to observe the provisions herein when engaged in research.

Structure of the Code

The Code creates each section in line with the usual progression of research and explains them one by one, starting with “What qualifies as significant research,” then the subject of the research, research activities and persons involved in the research during the course of the such activities, and finally the work product obtained as a result of such activities. The following is an explanation of the purpose of each section within the Code.

1. Significance of Research

Research activities can be broadly divided into three processes: 1) a process in which researchers present an **issue** and establish a hypothesis to solve or clarify the **issue**; 2) a process in which researchers conduct analysis or investigations and experiments to prove or demonstrate the validity and reliability of that hypothesis; and 3) a process in which researchers test the hypothesis based on the results obtained through the processes provided above, or further extract such portion that have not been verified, and announce all of the findings from these processes. These three processes are subdivided into smaller subtasks, and it is self-evident that the purposes of all these processes are always the pursuit of “novelty and originality”. In other words, an issue to be raised should be one that has not been verified in previous research; the knowledge obtained from verifying the **issue** should also be new; and such “novelty and originality” should be recognized by others through an “original expression”. The first

section reconfirms such significance of research and clearly provides for the ideal stance researchers should take toward research.

Yukichi Fukuzawa uses the word *jitsugaku* to describe “apprehending a fact, seeking concrete reason in accordance with this fact and actual matters, and applying such reason to actual problems.”^(Note 2) In other words, he uses the word *jitsugaku* to mean “Science”, which was based on the understanding of theories, principles and rules as well as experience and experiments, in comparing with Confucianism and study of Chinese classics, which were the center of study in Japan at the time.^(Note 3) In the first section (“Significance of Research”), “in pursuit of truth” is purposely added to the term *jitsugaku* in order for *jitsugaku* to mean “Science” in such sense.

2. Protecting Subjects of Research

The meaning of “subjects of research” can be divided into human subjects and animal subjects. Certain types of research cannot be conducted unless humans take part as subjects, while other types of research require the use of animals in experiments. In either case, researchers must give their highest priority to protecting the persons who take part in research and animals used in research. In most cases research is accompanied by burden or even damages in some cases, although there is a difference in the degree of such burden which can range from the time it takes to fill out a questionnaire and to invasive procedures in clinical tests. Specifically, researchers are required to give due regard to participants’ human rights, including minimization of harm and security of safety, provision of informed consent, and protection of privacy. In addition, to ensure the welfare of experimental animals, it is necessary to consider the use of alternative methods, reduction of the number of animals used, and mitigation of pain.

In addition to direct subjects, the execution of research may consequently or indirectly have unintentional influences on the surroundings and may even do them further harm. The second subject to which researchers should give due consideration is this “surrounding environment”. An outflow of harmful substances and organisms from research facilities can be given as a simple example of harm to the surrounding. Researchers must make careful plans and take necessary measures not to harm the safety of humankind and society and conservation of natural environment.

Note 2: In *An Encouragement of Learning*, Fukuzawa says: “By grasping the practical matters of each science, which vary in subject matter and content, he can search for the truth of things and make them serve his present purposes. The foregoing is common to mankind...” (Fukuzawa, 1872/2012) P.

Note 3: In *Keio Gijuku Kiji* (Twenty-Five Years of Keio Gijuku), Fukuzawa provided science (*saiyansu*) as the pronunciation of the Japanese characters for practical learning (*jitsugaku*). Modern notation of *kana* (Japanese syllabary) is used therein.

3. Ensuring Fairness and Transparency of Research Activities

When conducting research, we need to study its influence on society from various angles over the course of research. It is only natural that individual researchers should bear the responsibility for the details and results of research, but they should also assume the responsibility for explaining the details of their statements and the processes leading to their conclusion. Paragraph 3 stipulates guidelines for the social responsibility researchers should take during the process of their research activities.

Social responsibility that accompanies research activities can be diverse based on the respective academic domains, social and historical backgrounds, and stances taken by individual researchers. Furthermore, researchers may unintentionally commit errors in the process of their research activities or in the announcement of results, which may have significant consequences on the society. “Accountability” means handling such situations to the best of one’s ability. The accountability of researchers refers to the obligation to explain precautions that should be ensured in the processes of research activities and the impact of the results of their research on the society such that the general public would be satisfied.

Words such as “fairness and transparency” and “scientific and ethical appropriateness” themselves

may be subjects of debate, however, as these words suggest, researchers are required to place rationality and ethics at the center of academic remarks while recognizing various views, and to be impartial to all and give explanations in plain language.

“Administration of property in accordance with the rules” indicates an obligation to be ready to explain how one manages the materials, including management of research funds and their use. An increasingly large part of the funds for research are now subsidies from external organizations, in particular, public institutions. The public aspect of the organization of Keio University itself may require particular attention to “fairness and transparency” and “accountability” concerning the management of research funds and their use. To emphasize this point, we purposely inserted the wording, “perform administration of property in accordance with the rules.” Accountability may also be explained as an obligation of researchers to disclose information on the process of research.

4. Respecting Those Involved in Research

The phrase “All persons involved in their research” used herein does not mean participants who are the subjects of research as specified in Section 2. It means all persons involved in the implementation of research, including not only those performing the research, but also research assistants who aid the research (for example, those who perform operation and maintenance of research equipment or breeding of laboratory animals). All persons who fall under this category shall be required to engage in research in a fair manner and respect one another’s rights, including copyrights recognized in written articles such as academic papers, evaluation of contributions made upon announcement of research findings, and patents awarded to the fruits of research.

5. Promoting Research Exchange

With the segmentation of research activities, it has become increasingly difficult for one researcher to cover all processes of research activities. Furthermore, as the number of issues to be tackled globally has increased and the communication and transmission of research contents and findings are widely disseminated on a global basis through the widespread use of electronic media and development of communication means, researchers are required to extensively exchange information both at home and abroad to continuously improve by learning from others. Yukichi Fukuzawa also emphasizes the importance of human exchanges^(Note 4) under the spirit of independence and self-respect. The words “To be independent, but not isolated”^(Note54) are a great warning to researchers who are prone to be isolated and keep themselves to the so-called “Ivory Tower,” As well as the entire university, including the students, who are also expected to enhance such exchanges. Paragraph 5 stipulates how Keio University should open its doors to the world as a place of research.

Note 4: The words are repeatedly used in “Appendix to *Things Western*” *An Outline of a Theory of Civilization*, Danjo Kosairon (On association of men and women), and other works of Fukuzawa.

Note 5: As written in “Note of New Year Meeting of Keio University on January 25, 1879” (Part of a speech by Yukichi Fukuzawa delivered at a New Year’s party in 1879).

Explanation: Keio University Research Ethics Committee
(Headquarters for Research Coordination and Administration Ext: 25808)