

- ・被申立者への事前の聞き取り及び書面での聞き取り調査において、被申立者自身が不正を認めており、また、単独で行ったと述べていること。
- ・申立てのあった2報の論文におけるデータにおいて生データを基に作成されたテキストファイル等を加工した事実が確認されたこと。
- ・申立てのあった2報の論文の撤回に被申立者が同意したこと。

(6) 不正行為の具体的内容

1) 不正行為の手段・方法について

主に生データを基に作成されたテキストファイル等の加工、異なるサンプル・溶媒の使用、データの整合性を合わせる等の方法により行っている。

2) Data which has been confirmed as fraudulent (falsified)

Annex (Data marked with red in the paper found in the UK scientific journal Nature Materials and American chemistry journal Journal of the American Chemical Society)

3) Circumstances leading up to the disclosure and publication of the papers and the defendant's fraudulent activities (falsification).

As a result of the investigation, the circumstances leading up to the publication of the 2 papers and the defendant's fraudulent activities were as follows:

A) Publication of the paper in the UK scientific journal Nature Materials

- ・ July 24 2014 The defendant submitted a paper with themselves as the lead author (Above 3.-(3-1)) to the UK scientific journal Nature Materials.
- ・ December 19 2014 There was a report from a reviewer for said journal regarding this paper.
- ・ March 20 2015 The first revision was submitted.
- ・ May 2 2015 There was a second report from a reviewer.
- ・ May 23 2015 The second revision was submitted.
- ・ June 26 2015 Said paper was accepted.
- ・ August 3 2015 The paper was published online.

It was learned through the investigation of an interview with the defendant and other related materials that it was under these circumstances a considerable amount of data obtained through fraudulent means was used in the submission of the first revision; data obtained through fraudulent means was later used to complete the paper in the same way.

B) Publication of the paper in the American chemistry journal Journal of the American Chemical Society

- ・ February 14 2016 The defendant submitted a paper with themselves as the lead author (Above 3.-(3-1)) to the American chemistry journal Journal of the American Chemical Society
- ・ March 30 2016 There was a report from a reviewer for said journal regarding this paper.
- ・ May 2 2016 A revision was submitted.
- ・ May 10 2016 Said paper was accepted and published online on the same day.

被申立者からの聞き取り調査及び関係資料から、米国化学会誌へ掲載された論文は、英国科学誌にて公開された論文を元に作成されていることから、作成当初から不正行為により得られたデータを使用し論文を作成しているものである。

4. 認定した不正行為に直接関連する経費の種別・額及びその用途

- (1) 競争的資金等種別：独立行政法人日本学術振興会 国際共同研究事業
用途・内訳：197,733 円（論文投稿料 153,252 円、英文校正料 44,481 円）

5. 九州大学がこれまで行った措置の内容

平成 28 年 11 月 16 日に開催された第一回調査部会において、不正行為が行われたことに疑いがないことは明らかとの結論に至り、当本部会終了後、調査継続中ではあるものの、速やかに、当該 2 報の論文の撤回手続き急ぐこと及び当該論文を既に引用している著者へその旨の連絡をするよう責任著者である教員 A へ勧告を行った。

(英国科学誌「Nature Materials」においては、平成 28 年 11 月 24 日に撤回との情報がホームページ上に掲載された。)

また、米国化学会誌「Journal of the American Chemical Society」については、撤回手続きを行っているが、平成 29 年 3 月 22 日現在、Retraction(撤回)として公表されていない。

6. Factors Causing Fraudulent Activities and Measures Preventing Recurrence

(1) Factors Causing Misconduct

Regarding this occurrence of misconduct,

- 1) The experiment is difficult, and it takes a long period of research to confirm reproducibility
- 2) When the research data could not be reproduced, the deadline for the submission of revised manuscripts was drawing near, and so I wanted to come up with data even if it was impossible.
- 3) I was not able to fully complete the papers while doing research in Japan between 2012 and 2015, and I thought that if I returned to my home country (India) like that I would be unable to get a job or provide for my family.

A sense of being psychologically driven to the wall, caused by matters such as the above, is believed to be the cause of the defendant's fraudulent activities.

(2) Measures Preventing Recurrence

Following this incident, this university will take the following measures to prevent recurrence:

1) Measures to prevent recurrence in the given laboratory:

- Raw data is to be brought when discussing the writing of a paper.
 - Experiment notes are to be brought when discussing ordinary research.
- In this way a system of checks based on multiple names is created.

2) Measures to prevent recurrence throughout the university:

- Continual and regular work on the dissemination of recurrence prevention measures,

- reminders at executive level and education research council meetings, bringing it to the attention of faculty and staff by holding lectures, etc.
- In particular, responsible authors are to work even more diligently at checking matters such as experimental facts that are decisive in the acceptance or rejection of papers.

7. Other

(1) Researchers who have been identified as being involved in fraudulent activities:

The disposition of such researchers will be considered within the university at a future date.

(2) The responsibilities of responsible authors (Faculty Members A and B):

- Discussion on research was conducted on a regular basis, and the manuscript was reviewed and examined from its preparation and revision to its acceptance. Based on this, Faculty Member A, who is the head of the laboratory, has adequately carried out education and guidance, and fulfilled their responsibility as responsible author.
- The data falsified by the defendant was within the expected theoretical values and there was no unnaturalness.
- A manuscript revised twice in accordance with the reports of reviewers was submitted twice to the UK scientific journal Nature Materials, but in neither case did the expert reviewers express doubts about the falsified sections. Similarly, a manuscript edited in accordance with the report of a reviewer was submitted to the American chemistry journal Journal of the American Chemical Society, and again there were no doubts expressed about the falsified sections.

For the above reasons, we may presume that it would have been difficult for a responsible author to become aware of the misconduct even with normal attention.

END

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