Prevention of unauthorized use of Public Research Funds at JAIST

Japan Advanced Institute of Science and Technology

JAIST
JAPAN
ADVANCED INSTITUTE OF
SCIENCE AND TECHNOLOGY
1990

～Definition of Public Research Funds～

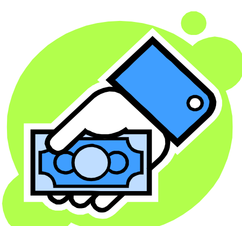
"Public Research Funds" covers <u>all funds managed by JAIST</u> including operating expenses grant, endowments, competitive research funds and contract research funds.

As these funds are mostly from public tax funds, the unauthorized use of them will breach taxpayers' trust and make JAIST lose its social credibility.

As we are accountable for using them, we have established an organization for preventing unauthorized use of public research funds and its regulations to be followed.

When we use them, we are accountable to …

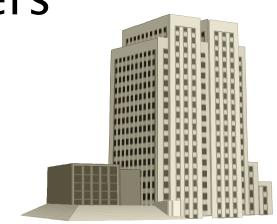
Operating Expenses Grant



Joint Research
Contract Research
Endowments

Competitive Research Funds from National or Local Government

Taxpayers



Funding Agencies

Board of Audit of Japan

～ Responsibility System ～

The Head Administrative Officer（President）
〇Take necessary measures to formulate and disseminate the basic policy for misconduct prevention measures.

Discussion

Board of Directors

Formulate the Basic Policy
Implement necessary measures

Status report

Report, Comment

The General Manager（Trustee for General Affairs）
〇Formulate and implement specific measures based on the Basic Policy for the prevention
〇Confirm the implementation status and report to the Head Administrative Officer

Auditors
〇Audit

Setting up and Implement specific measures
Support the implementation of specific measures
Confirm the implementation status (Monitoring)

Status report

Formulate Misconduct Prevention Plans etc.

Cooperation

Misconduct Prevention Committee
〇Formulate Misconduct Prevention Plans etc.
〇Progress management of Misconduct Prevention Plans etc.

Cooperation

Cooperation

Audit Office
〇Internal Audit

Manager in charge of compliance（Head of Dept. or Dean）
〇Implement the measures in the department and report the status to the General Manager
〇Implement compliance education and awareness-rising activities for the members of the department
〇Monitor whether Public Research Funds are properly used and managed by members
〇Provide guidance on improvements if necessary

<Graduate School of Advanced Science and Technology>
Deputy manager in charge of compliance (Deputy Dean, Dean of Division, Research Area Director)

Implement specific measures
Implement compliance education and awareness-rising activities
Monitoring and guidance on improvements

Member of Dept. or School

～ Examples of misconduct ～

Fictitious Business Trip

- A researcher made fictitious claims by using the information on conferences etc. obtained through the internet etc. and submitted false business trip report, thereby obtaining travel expenses.

Double Reimbursement

- The institution that requested a researcher to travel had paid for the travel expenses. However, the researcher also claimed travel expenses from his/her own institution.

~ Examples of misconduct ~

Inflating Actual Travel Expenses

- The researcher reported business trips based on the originally applied information, even though he/she did not travel anywhere, or even though the destination, length of trip, transportation, and accommodations applied were different from the actual trip, resulting in fictitious or excessive travel expenses. The university incurred fictitious or excessive travel expenses.

- A researcher purchased two different airline tickets (full price and discounted), and submitted the receipt for the full price ticket to claim the travel expenses. He/she then cancelled the full price ticket and traveled on the discounted price ticket.

- Although the accommodation was changed from the hotel or other accommodation facility to the acquaintance‘s house, a researcher failed to inform this and the relevant documents left uncorrected, thereby obtaining excessive travel expenses.

~ Examples of misconduct ~

Fictitious Rewards･Fictitious Salary

- A professor had students prepare "attendance sheets" even though they were not working, created false work records, and fraudulently claimed rewards, which were then used to cover travel and participation expenses for students to attend academic conferences.
- A researcher went through the process of hiring a student, had the student stamped with his/her seal in the attendance sheet, and was paid a salary by the university despite the fact that the student did not actually work.

Using KAKENHI for other purpose

- The researcher conducted overseas business trip using KAKENHI even though some part of the trip was unrelated to the KAKENHI project.

～ Examples of misconduct ～

Personal Use

- A researcher purchased items unrelated to the research purpose and used them for personal use. The items were in line with the research purpose but were not used for the research and used them for personal use instead.

Sale of Goods

- A researcher purchased electronic equipment with high cash value and sold them for cash. During the physical verification of items, he/she substituted other items to avoid detection.

~Hotline for reporting misconduct~

If there are any facts sufficient to be suspicious of misuse of Public Research Funds, report that to the Hotline below.

Hotline for reporting misuse of Public Research Funds

Contact point on campus	Phone	E-mail
General Service Section, General Affairs Department	0761-51-1049	helpline@ml.jaist.ac.jp

Contact point off campus	Phone	E-mail
Asahi Legal Professional Corporation	076-232-0004	mnj@angel.ocn.ne.jp

・When making a report, in principle, please clarify your name, contact information, and the fact to be reported.
・JAIST shall not give any disadvantages to the reporter simply on the basis of providing the report.
・The Head Administrative Officer confirms the content of the report and determines whether an investigation is required.
・If an investigation is done, the Head Administrative Officer reports the findings of the investigation to the reporter and the suspicious person.

～Actions to be Taken If a Misconduct is Identified～

Actions against researchers include internal personnel disciplinary actions, criminal and civil prosecution, release of findings that include individual names, return of some or all of the research funds to the funding institution, and restrictions on the application and eligibility.

<u>Actions taken by JAIST</u>

- Internal personnel disciplinary actions based on employment regulations including but not limited to dismissal, suspension, reduction in pay, admonishment, and strict warnings.
- Civil or criminal prosecution as legal action depending on the case.
- Release of findings from the investigation that include the names of researchers unless there are rational reasons.

<u>Actions taken by funding institutions</u>

- Cancellation of the decision to grant subsidy to the funding institution/researcher and return of part or all of the research expenses depending on the case.
- Restrictions on the eligibility of researchers who have committed misconduct and those who have colluded with them to apply for and participate in competitive research funds, depending on the case.

～ Actions to be Taken If a Misconduct is Identified ～

"Guidelines for the Proper Execution of Competitive Funds" (Revised in December 2021)

- Stricter penalties for restrictions on application and eligibility for participation to those who have engaged in private diversion

  ➡ 10 Years

- Stricter and more appropriate penalties for restrictions on application and eligibility for those who have misappropriated funds other than for private diversion

  ➡ 1 – 5 Years

  (Determined according to the nature of the act of misuse)

- Establishment of new restrictions on application and eligibility for breach of duty of diligence

  ➡ Maximum 2 years after the revision

～Where can we inquire or consult about Public Research Funds?～

Things concerning :	Counter section	Phone	email
･Grants-in-aid for scientific research ･Commissioned researches ･Other grants ･Joint researches ･Donations	Research Promotion Section	0761-51-1893	josei@ml.jaist.ac.jp
Competitive funds related to the education	Admin. and Planning Section, Educational Affairs Dept.	0761-51-1083	e-soukatsu@ml.jaist.ac.jp
Contracts concerning purchase and others	Procurement Section	0761-51-1104	tyoutatsu@ml.jaist.ac.jp
Salaries, travel expenses and remuneration	Emolument Section	0761-51-1100	kyuyo@ml.jaist.ac.jp
Goods management	Procurement Section	0761-51-1104	tyoutatsu@ml.jaist.ac.jp
Employment (excluding students)	Academic Personnel Section	0761-51-1067	kyouin@ml.jaist.ac.jp
Employment (students)	Graduate School Secretarial Service Dept.	0761-51-1148	tarala@ml.jaist.ac.jp
Public research funds other than those above	Accounting General Affairs Section	0761-51-1092	soumu@ml.jaist.ac.jp

～Prevention measures～

✓Well-planned use of Public Research Fund

・You should avoid that purchases are concentrated at just before the end of final fiscal year of research period without proper reasons.

・If you return the rest of research fund as you cannot spend all amount in determined fiscal year, it does not affect badly to future adoption.

・Some of competitive funds are allowed to be carried over. If you want to know its details, please contact the section in charge of the fund.

✓Confirmation of delivered items at Accounting Dept.

・When the goods requested arrives to you after confirmation of delivered items at Accounting Dept., your signature must be filled in the delivery slip.

Even if the order is placed by the faculty member him/herself, confirmation at Accounting Dept. and signed delivery slip are also needed.

- If the goods were bought by your advance payment and if the goods were delivered to labo rooms directly, you must get confirmation of delivered items at Accounting Dept.

～Prevention measures～

✓Advance payment on behalf of JAIST

- You are allowed to buy items by your advance payment and get reimbursed from JAIST, if your case falls under any of following cases and if your education and research activity is interfered without your advance payment.

○Annual fee, registration fee and materials fee for an academic conference
○Admission and materials fee for a training session
○Highway toll and parking fee
○Service charge to pay a public office
○The expenses for items or other things that are absolutely necessary for education and research during your business trips
○The business with overseas companies
○Ordering via internet is reasonable
○When unavoidable in the course of business

- The prior approval is required if the contract amount exceeds 500,000 yen even if your case is applicable to any of above cases.
- In principle, JAIST payments are made against invoice. Advance payment mentioned here is only an exception and can only be applicable when it is unavoidable. Procurement Section, Accounting Dept. can place an order to Amazon. If you need to buy items thorough Amazon, please consult with Procurement Section.
- If the goods were bought by your advance payment or if the goods were delivered to labo rooms directly, you must immediately get confirmation of delivered items at Accounting Dept.

～Prevention measures～

✓Proper management of articles purchased by funds

・Accounting Dept. manages following items by placing sticker on them.
① Goods its price at the time of purchase was 100,000 yen or more
② Goods regarded as easier to be cashed such as a laptop or a tablet computer (even if its price is less than 100,000 yen)

・In case of the following, do not fail to inform that to Accounting Dept.
〇The goods are no longer in use.
〇When user changed.

✓Clarification of duties and responsibilities

・Only If the price is less than 500,000 yen, faculty member can place order directly to a provider.

・Order must be done with the due care of a prudent manager.

・When you make an order, you are liable to followings:
〇You have accountability to fairness of choosing a vender.
〇You have accountability to fair price of the ordered item
〇You are liable for damage caused by an unauthorized use.

・If the price is 500,000 yen or more, the order must be through Accounting Dept.

・If the price will be more than 1 million yen, we can decide a provider only after comparing estimates from several providers.

・If the price will be more than 5 million yen, bidding is needed.

～Prevention Measures～

✓ Compliance with Business Travel Procedures (No.1)

- When you take a business trip, it is necessary to clarify the followings: When, Where, Whom, and What.
- Please inform the relevant department if there are any changes in your itinerary including destination, details of business trip, number of days of travel, transportation, places to stay, and other travel related matters.
- Depending on the destination, we have standard travel routes and the criteria for staying overnight before or after the business trip. If you have any questions, please contact the Accounting Department before your trip.
  ※ Charges for travel expenses associated with unnecessary pre or post extra stay are considered excessive billings.
- If any part of your travel expenses such as transportation or lodging is paid by another organization, please be sure to contact the relevant department in order to avoid duplicate payments.

～Prevention Measures～

✓ Compliance with Business Travel Procedures (No.2)

- In case of air travel, please submit the receipt and boarding certificate printout after the business trip.
- As a general rule, please refrain from earning and using the airline mileage. However, earning and using of such mileage is permitted only when they are used effectively from the perspective of reducing business travel expenses.

  ※ Examples of inappropriate use of mileage

  - A person who is not eligible for business class airfare is upgraded to business class using the mileage.
  - A person who is not eligible for JAL's Class J or ANA's Premium Seat is upgraded to them using the mileage.
  - Using the mileage to purchase an airline ticket for the family member.
  - Claiming lodging expenses even though the mileage was used to stay at a hotel, and so forth.

～Prevention Measures～

✓ Compliance with Business Travel Procedures (No.3)

- If you stay at a hotel or other accommodation that charges a fee, please submit a proof of stay issued by the hotel. If the hotel does not issue a proof of stay, you will need to submit the receipt or other document that proves that you stayed and paid for your accommodation. If you did not need to pay for accommodation, such as staying at home, staying at a friend's house, or accommodation was paid by another organization, you will not be reimbursed for accommodation.
- In your business trip report, please list the name of the person you met with and the name of the accommodation you stayed at.

Be sure to verify the contents of travel orders and business trip reports yourself before stamp your name and seal them. Do not allow other to use your stamp.

～Prevention measures～

✓Payment of honorarium and salary

・When requesting outside persons or students to give lectures, assist with research, or perform other duties and paying them an honorarium or salary, please check the work performed by the person on a daily basis. Padding working hours or paying more honorarium or salary than the actual work performed is considered misuse.

・When requesting students to assist with research, or other work, please give consideration to the students' academic and class work.

✓Inspection by monitoring

・ As part of our measures to prevent misconduct, we conduct regular inspections such as checking delivered items, confirming the working facts, and confirming the business trip facts.

✓Open space meeting with vendors

・Meetings with vendors should be held in an open space to avoid becoming too close.

As Public Research Funds are mostly from tax funds, there inappropriate usage will be heavily criticized and punished by government and taxpayers.
This materials is to show transparency as research institute and accountability to funding agency and taxpayers.
You need to understand and adhere the regulation of Public Research Funds!

STOP!!

Research funds misconduct