



Creating the organizational climate with a higher awareness of the proper execution of research funds

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The University has begun to take steps forward becoming a “social prototyping research university” to create new values for social symbiosis. To this end, we must promote research and open innovation more than ever. However, no matter how advanced our research is in progress, acting against research ethics in the process is not acceptable. Under the Ritsumeikan University Research Ethics Guidelines, the University has established the responsibilities and the code of conduct for researchers, and has been striving to ensure more proper execution of research funds.

In February 2021, Ministry of Education, Culture, Sport, Science and Technology (MEXT) revised the “Guidelines for Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)”, and requires universities to implement thorough measures to prevent improper use, setting three pillars of “strengthening governance”, “raising awareness”, and “strengthening systems to prevent misconduct”.

As Chief Management Director, I will work on compliance education and edifying activities in order to create the organizational climate with high awareness for preventing improper use of research funds. As part of the activities, we will publish “Guidepost—Newsletter for Proper Execution of Public Research Funds” to provide information on the proper execution of public research funds on a regular basis.

We hope that you will refer to the information in this newsletter, deepen the knowledge on the proper execution of public research funds, and carry out your daily research activities properly without any troubles.



Points to note in the revision of “Guidelines of Management and Audit of Public Research Funds”

In the management and audit system based on the guidelines, each research institution has established a basic system and has been taking measures to prevent misconduct, but **various forms of fraudulent research expenses are still occurring at other universities and research institutions**. In response to this situation, MEXT has set the following three items as the pillars for strengthening prevention of misconduct in order to raise awareness of research institutions as a whole and create the organizational climates with a high level of awareness regarding the prevention of research misconduct.

Especially, MEXT requests research institutions to newly implement “edifying activities” in addition to the current “compliance education” and “submitting a pledge”.



Three Pillars to Strengthen Preventive Measures in the Revised Guidelines

Strengthen Governance	Raising Awareness	Strengthening Systems to Prevent Misconduct
<p>Clarifying the leadership and role of Chief Management Officer to eradicate misconduct</p> <ul style="list-style-type: none">· Expressing a strong commitment to eradicating misconduct by Chief Management Officer and deliberating at board meetings are to be required.· As part of the role of auditors, checking and making comments on the status of the internal control over prevention of misconduct from the perspective of the entire institution is to be required.· Thoroughly implement the PDCA cycle to prevent misconduct to carry out effective internal control 【e.g. reflection of the internal auditing results on the plan to prevent misconduct】	<p>Promoting the sense of prevention of misconduct among all the member of the institution through compliance education and edificatory activities</p> <ul style="list-style-type: none">· As a measure taken by Overall Management Officer, laying out comprehensive approach to foster the organizational climate that prevents misconduct is to be required.· Continuous implementation of edificatory activities to eradicate misconduct (raising awareness of it and making it sink in) is to be required.· Edificatory activities are conducted in conjunction with and complementary to compliance education, and include referring to the internal auditing results to share an understanding.	<p>Strengthening the audit function and eliminating “opportunities” of misconduct</p> <ul style="list-style-type: none">· Participation of those equipped with specialized knowledge (Certified Public Accountants) in the internal audit is to be required.· Strengthening cooperation among auditors, accounting auditors, and internal audit division to enhance the checking function of the fraud prevention system.· Introducing an expenditure system that does not allow researchers to involve in payment, such as not letting researchers use cooperate cards.

To promote the proper use of research fund

The rules regarding public research funds are changing every year. When you spend research funds, we would request your efforts to execute it properly by making use of “Guidelines for Disbursement of Research Funds”. If you have any questions regarding execution, please feel free to contact a person in charge of accounting at each Research Office.



<https://secure.ritsumeai.ac.jp/students/research/member/file/001/011/011-p01-e.pdf?version=> ▶

【For newly appointed faculties and researchers】

The procedures related to research you need to follow upon arrival is summarized in the following link. Please check the detailed information in each of the link and make sure to submit documents including a written pledge so that you can conduct research smoothly at the University.

<http://en.ritsumeai.ac.jp/research/rosupport/> ▶

【For faculties and researchers who are going to apply for or receive public research funds in this fiscal year】

To apply for or receive public research funds, it is required to attend compliance education and submit a “pledge”. Last year, we made a university-wide effort to have those who had taken the course or submitted the pledge before FY 2019 retake and resubmit. **As a result, all the recipients of public research funds in FY 2021 have been confirmed to have retaken and resubmitted.**

In the future, when you newly apply for a public research grant, we will confirm the resubmitting status, and if it has not been submitted, we will inform you to resubmit it. The video clip for compliance education and submission procedure (online) of a written pledge are summarized in the following webpage.

http://www.ritsumeai.ac.jp/research/member/research_expenses/05.html/ ▶

Publishing Newsletters

This newsletter will be quarterly issued as part of edificatory activities. It will disseminate and deliver information on proper execution of research funds on a regular basis, sharing the cases of improper use including those at other institutions and the factors behind their occurrence as well as the matters pointed out during the internal audit or voucher check-up. The next issue is scheduled to be published in September.

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