



## To researchers who have applied for public research funds such as Grants-in-Aid for Scientific Research (KAKENHI)

If you have applied for KAKENHI and other public research funds for AY2026 and neither attended the compliance education nor submitted the pledge in AY2020 or thereafter, please do so promptly. The information on the compliance education video and online submission of the pledge is available on the following webpage.

[https://www.ritsumei.ac.jp/research/member/research\\_expenses/05.html/](https://www.ritsumei.ac.jp/research/member/research_expenses/05.html/) (in Japanese/English)

Please note that the current year marks the beginning of the five-year cycle for mandatory compliance education. We are reviewing the compliance education content and will implement a new comprehension check to ensure effective learning. We will provide further details once preparations are complete.

Attendance at "Research Ethics Education" is also mandatory. Please make sure to take the relevant course by accessing the JSPS e-learning system (eLCoRE) (the course needs to be taken in AY2021 or thereafter).

<https://elcore.jsps.go.jp/top.aspx> (in Japanese/English)

Please note that the year for mandatory attendance at the "Research Ethics Education" course will be AY2026. Further details will be provided at a later date.

### Compliance



## Cases of misconduct actually occurred in other universities

On the MEXT webpage below, the outlines of the actual cases of misconduct are disclosed.

[https://www.mext.go.jp/a\\_menu/kansa/houkoku/1364929.htm](https://www.mext.go.jp/a_menu/kansa/houkoku/1364929.htm) (in Japanese only)

The report below summarizes one incident.

With regard to the matters on the following page, those involved do not acknowledge any misuse of funds. However, Professor Emeritus A and Associate Professor B were each found to have committed misuse involving "deliberate misuse of KAKENHI funds," Assistant Professor C was found to have committed misuse involving "collusion regarding the misuse," and Associate Professor D was found to have committed misuse involving "breach of the duty of care regarding their own KAKENHI funds."

Accordingly, **even if there was no personal embezzlement and the motive was solely to ensure the laboratory's sustained stability, actions lacking the diligence required by ethical standards and social norms are deemed improper use.** Even if an explanation of "necessity for research execution" is provided, the action may still be judged "inappropriate" when evaluated against ethical standards and social norms. Providing food and beverages, including alcoholic drinks, using meeting and external liaison expenses, or performing post-approval procedures for items requiring prior approval are examples where a gap in understanding between researchers and the rules is likely to arise.

Please refer to the "Research Fund Spending Guidebook" for the University's policy on the proper execution of research funds and various procedures for the execution of research funds.

[https://www.ritsumei.ac.jp/research/member/research\\_expenses/re02/english.html/](https://www.ritsumei.ac.jp/research/member/research_expenses/re02/english.html/)



Type of misconduct	Misuse
Year of occurrence	AY2018 and AY2020
Amount of research funds improperly spent	572,480 yen
Number of researchers involved	4 persons (1 for conspiracy, 1 for breach of the duty of care)
Descriptions	Professor Emeritus A and Associate Professor B, anticipating that the term of the part-time staff member handling laboratory administrative duties would expire at the end of March 2018, planned to have the staff member return to the laboratory in October 2018. They sought an organization willing to employ the staff member for six months only and decided to request assistance from a private company where Assistant Professor C had previously served as representative. Assistant Professor C negotiated with the company and agreed to cover the equivalent of the part-time staff member's 6-month salary by purchasing consumables and other items using educational research funds. Associate Professor D was asked by Associate Professor B and others to purchase and transfer these consumables and other items. Associate Professor D approved and made the purchases in a desultory manner.
Methods	Assistant Professor C ultimately did not refuse requests from Professor Emeritus A and Associate Professor B, instead negotiating with the company in question. After securing a six-month employment contract for the part-time staff member, Assistant Professor C conspired in the misuse of funds by specifying consumables and other items to ensure the fulfillment of the promise to compensate for the equivalent amount of personnel expenses. Subsequently, Professor Emeritus A misused his KAKENHI funds for non-designated purposes by purchasing and transferring consumables, etc., in 2018 and 2020, while Associate Professor B did so in 2020. Furthermore, Associate Professor D, as a Co-Investigator, neglected his duty of care regarding his own KAKENHI funds by desultorily approving requests from Associate Professor B and others to purchase and transfer consumables, etc.
Occurrence factors	<p>The university in question established its basic policy for preventing misconduct regarding research funds in May 2007, based on the "Guidelines for the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)." In December 2014, following revisions to the guidelines above, it established key provisions concerning the operation and management system for research funds. The university has implemented various measures to ensure proper management of research funds and prevent fraudulent accounting, including establishing an appropriate framework and conducting compliance education.</p> <p>Nevertheless, the factors leading to the misuse in this case include the fact that all four individuals involved in the misuse demonstrated a significant lack of ethical standards as faculty members, awareness regarding the misuse of educational and research funds, understanding of the rules governing the use of KAKENHI funds, and the rational judgment to employ appropriate means for the intended purpose.</p>

## Please complete the procedures for the settlement of business trips and out-of-pocket expenses promptly.

Please proceed promptly with the reporting of business trips made during the summer vacation period. Also, please do not hoard receipts for reimbursement of out-of-pocket expenses, and proceed with the procedures as frequently as possible.



## Publication of Newsletter

This Newsletter is published quarterly as part of our awareness-raising activities, and is intended to disseminate and deliver information for the proper execution of research funds on a regular basis, such as sharing of misuse cases including those that have occurred at other organizations and the factors that have led to their occurrence, as well as matters pointed out during internal audits and voucher inspections. The next issue is scheduled to be published in December 2025.



Division of Research,  
Ritsumeikan University