

# STOP! Misuse of Funds

## Research Funds Handbook (Summary Version)

### Preventing Misuse of Research Funds

#### Introduction

This leaflet, prepared under the “Plan for Prevention of Research Fund Misuse,” aims to help you understand the basic rules for using research funds and our university’s measures to prevent misuse. Research funds are public money, and their proper use and management are a social responsibility. Please be aware that misuse by a single individual can impede university-wide activities and severely damage the university’s credibility. Please ensure proper use of research funds.

#### Main Prohibited Activities

##### Fictitious Transactions

Having the university pay for fictitious transactions and having a vendor or other third party manage those funds

##### False Travel Claims

Having the university pay for travel expenses for trips that did not actually take place

##### False Honorarium Claims

Having the university pay honoraria for work that was not actually performed

##### Collusion/Provision of Benefits with Specific Vendors

Engaging in collusion or providing benefits to specific vendors for mutual gain

##### Recovery of Disbursed Payments

When recipients are instructed or pressured to return paid-out travel expenses, honoraria, or other payments to faculty, staff, or other parties

##### Undocumented Handling of Funds

When faculty or staff members personally handle donations received directly from companies or foundations, rather than processing them through the university’s accounting system

##### Misappropriation

Using research funds and associated funding for purposes other than those for which they were allocated

##### Use of Research Funds beyond the Designated Period

Using research funds and associated funding beyond their designated period

#### Penalties for Misuse

##### Individual Penalties

- Disciplinary measures under university regulations
- Sanctions by funding organizations (e.g., suspension of eligibility, repayment of funds)
- Legal penalties, etc.

##### Institutional Penalties

- Repayment of amounts equivalent to misused research funds
- Reduction of indirect-cost reimbursements
- Suspension of eligibility for competitive research funding, etc.

#### University Measures to Prevent Misuse

The university has established a "Plan for Prevention of Research Fund Misuse" and implements various preventive measures.

##### Clarifying Lines of Accountability

To establish clear institutional accountability, we have implemented an administrative structure headed by the President as Chief Administrative Officer, with the Fraud Prevention Office, Internal Audit Office, and Independent Accounting Auditors working together to prevent misuse.

**Chief Administrative Officer ▶ President**

**General Administrative Officer ▶ Executive Director of Finance**

**Compliance Promotion Officers ▶ Department Heads**

##### [References] University Rules and Regulations

The university has established rules and regulations for the use of research funds and promotes awareness through the “Research Funds Usage Handbook” and other materials.

**Basic Policy on Prevention of Research Fund Misuse at SOKENDAI**

<https://kitei.soken.ac.jp/doc/gakugai/listall.html?rule=541#>

**SOKENDAI Code of Conduct for the Use of Research Funds**

<https://kitei.soken.ac.jp/doc/gakugai/listall.html?rule=542#>

**Research Funds Usage Handbook**

[https://www.soken.ac.jp/outline/rules/research\\_expense\\_management/file/kenkyuhishiyouhandbook2024.pdf](https://www.soken.ac.jp/outline/rules/research_expense_management/file/kenkyuhishiyouhandbook2024.pdf)

##### [References] MEXT Guidelines

**Guidelines for the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)**

[https://www.mext.go.jp/a\\_menu/kansa/08122501.htm](https://www.mext.go.jp/a_menu/kansa/08122501.htm)

#### Consultation Desk

##### Research Center for Integrative Evolutionary Science

|                              |        |                           |
|------------------------------|--------|---------------------------|
| RCIES Administrative Section | E-Mail | hayamajimu@ml.soken.ac.jp |
|                              | TEL    | 046-858-1577 (Direct)     |

##### The Center for Education Planning and Development

|                          |        |                       |
|--------------------------|--------|-----------------------|
| Academic Affairs Section | E-Mail | gshien@ml.soken.ac.jp |
|                          | TEL    | 046-858-1531 (Direct) |

[Contact Information] Relevant Sections (Please contact the consultation desk first.)

##### General Usage Rules

|                |        |                       |
|----------------|--------|-----------------------|
| Budget Section | E-Mail | syukei@ml.soken.ac.jp |
|                | TEL    | 046-858-1515 (Direct) |

##### Procurement of Goods/Services and Asset Management

|                     |        |                       |
|---------------------|--------|-----------------------|
| Procurement Section | E-Mail | yodo@ml.soken.ac.jp   |
|                     | TEL    | 046-858-1593 (Direct) |

##### Travel Expenses and Honoraria

|                    |        |                       |
|--------------------|--------|-----------------------|
| Accounting Section | E-Mail | keiri@ml.soken.ac.jp  |
|                    | TEL    | 046-858-1514 (Direct) |

##### Application and Reporting for Competitive Research Funding

|                               |        |                       |
|-------------------------------|--------|-----------------------|
| Research Coordination Section | E-Mail | kenkyo@ml.soken.ac.jp |
|                               | TEL    | 046-858-1539 (Direct) |

#### Internal Reporting System

We have established reporting channels for reporting misconduct related to research funds for both internal and external parties.

##### Reporting Channels

|                 |                             |        |                          |
|-----------------|-----------------------------|--------|--------------------------|
| <b>Internal</b> | Internal Audit Office       | E-Mail | kansa@ml.soken.ac.jp     |
|                 |                             | TEL    | 046-858-1549 (Direct)    |
| <b>External</b> | Hiratani & Yaoya Law Office | E-Mail | bansei.yaoya@gmail.com   |
|                 |                             | TEL    | 042-645-1533 (Main line) |

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