

Plan to Prevent the Misuse of Public Research Funds at Osaka University

(Established on September 16, 2008)
 (Amended on April 1, 2011)
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Osaka University (hereinafter referred as the "University") shall develop the Plan to Prevent the Misuse of Public Research Funds as follows pursuant to Article 15 of the National University Corporation Osaka University Regulations Pertaining to Public Research Funds, and ensure the University's research-related activities are implemented and managed based on the said plan.

I. Public Research Funds administration and management system

(1) Chief Executive Officer: President of Osaka University

The Chief Executive Officer assumes final responsibility for the administration and management of Public Research Funds at Osaka University.

(2) General Operating Officer: Executive Director designated by the President

The General Operating Officer assists the Chief Executive Officer and has substantial responsibility and authority to supervise the administration and management of Public Research Funds on a university-wide basis.

(3) Department Operating Officers: Head of each Division of the University (and the Executive Director in charge of finance of the Administration Bureau)

Department Operating Officers have substantial responsibility and authority for the administration and management of Public Research Funds at the relevant Divisions.

II. Plan to prevent the Misuse of Public Research Funds

1. Define a responsibility system.

Aim	Plan to Prevent the Misuse of Public Research Funds
Raise awareness of responsibility for compliance	<ul style="list-style-type: none"> • In order for Department Operating Officers and/or Assistant Department Operating Officers to completely grasp their obligations, they shall attend the "Department Operating Officer and Assistant Department Operating Officer Orientation." • Newly-appointed Department Operating Officers shall understand their obligations as Department Operating Officers and what their duties are. In addition, for newly-appointed Assistant Department Operating Officers, Department Operating Officers shall take measures to allow Assistant Department Operating Officers to understand their own obligations.

2. Develop an environment conducive to the appropriate administration and management of Public Research Funds.

Aim	Plan to Prevent the Misuse of Public Research Funds
Create an environment and structure that deter misuse	<ul style="list-style-type: none"> • Department Operating Officers shall make the rules of the use of Public Research Funds easily and thoroughly understood. • Department Operating Officers shall re-review and thoroughly understand the scope of their responsibility and the management system for Public Research Funds.
Share understanding of authority and responsibility when exercising the authority to place orders	Department Operating Officers shall educate academic staff on their authority and responsibility in exercising the authority to place orders.
Develop a correct understanding of what behaviors may constitute misuse	• Department Operating Officers shall implement compliance training (policies for misuse countermeasures and regulations) for all staff in their department dealing with the administration and management of Public Research Funds so that they can understand when misuse occurs.

3. Identify causes of misuse and develop and implement a misuse prevention plan.

Aim	Plan to Prevent the Misuse of Public Research Funds
Identify causes of misuse, review the plan to prevent misuse regularly, and prevent recurrence of misuse	The University shall develop measures against specific causes of misuse identified in investigations and incorporate such measures into a misuse prevention plan.

4. Promote activities to ensure appropriate administration and management of Public Research Funds.

Aim	Plan to Prevent the Misuse of Public Research Funds
Accurately grasp and implement the appropriate budget	<ul style="list-style-type: none"> • Department Operating Officers shall review how the budget has been spent and whether it was used for its originally intended purpose. • Department Operating Officers shall promote awareness and guide academic staff to determine which expenditure to use before placing an order. • Department Operating Officers shall monitor to ensure the proper management of Public Research Funds.
Prevention of collusion with suppliers	Department Operating Officers shall take appropriate measures to prevent collusion with suppliers as extremely close relationships between suppliers and academic staff can lead to illegal transactions.
Discover issues of misuse that arise due to confirmations by third parties	<ul style="list-style-type: none"> • Even if orders are placed by academic staff, etc., Department Operating Officers shall regularly verify the transaction status and details (with correction guidance) regarding orders to effectively monitor the administration department. • Regarding purchased items, etc. ordered by academic staff, etc., the Department Operating Officers shall make sure the administration department confirms the existence of those purchased items or services.
Reduce the risk of cash-converting	Items that are easily converted into cash should be managed appropriately.
Grasp the purpose of business trips	• Department Operating Officers shall make sure that the Purpose of Business, visiting destination, accommodations, interviewers, etc. are included in the Business Trip Report.
Review and confirm job duties and explain work requirements within the administration department and not rely on research labs to do these duties	<ul style="list-style-type: none"> • If part-time employees are not fully aware they are employed by Osaka University, Department Operating Officers shall plan thorough compliance training. • Department Operating Officers shall formulate measures to completely fulfill the function of third party inspections in reviewing actual work (engagement) and attendance. • Department Operating Officers shall fully confirm the appropriateness of job arrangements, including work period and scope of work with recognition of the source of funds for wages, when employing newly hired staff.

5. Establish a system for communicating correct information.

Aim	Plan to Prevent the Misuse of Public Research Funds
Promote information sharing and mutual understanding	<ul style="list-style-type: none"> • Department Operating Officers shall inform academic staff, etc., that there are consultation services in their departments where they can discuss in advance whether their actions violate rules, etc. in their daily research activities. • Department Operating Officers shall inform staff in their department of the Compliance Hotline Service at Osaka University.

6. Enhance monitoring capabilities.

Aim	Plan to Prevent the Misuse of Public Research Funds
Minimize the possibility of the Misuse of Public Research Funds	<ul style="list-style-type: none"> • The Audit Office shall expand the coverage of ordinary and special auditing, and more strictly audit academic staff offices that are authorized to conclude purchase contracts (including conducting unannounced audits). • Have the Audit Office work with the Office for the Proper Usage of Research Grants to inspect the misuse prevention system to eliminate or reduce the risk of misuse.

III. Understanding of the administration and management of Public Research Funds

• Osaka University staff and those who are not employed by the university, but consider the university their research institution, as well as research representatives who have the authority to implement the budget, research project members, other research partners (those who have received competitive funds or contributions from other universities), etc., must undergo compliance training and complete the Quiz on Handling Public Research Funds.

• It is necessary for academic staff who place orders to have the same authority and responsibility as accounting managers, contract signatories (including the President of Osaka University), and budget managers. They must also fully understand that the authority and responsibility delegated to them by the budget manager for implementing the budget is an authority that is also passed from the president of the university and accounting managers to them.

▪ All Osaka University staff, TAs, RAs, part-time staff, tutors, etc., and those who are not employed by the university, but consider the university their research institution, as well as research representatives who have the authority to implement the budget, research project members, other research partners, etc. (those who have received competitive funds or contributions from other universities), etc., must submit a pledge to prevent Misuse of Public Research Funds.

IV. Inspection and evaluation of the plan to prevent the Misuse of Public Research Funds

Endeavor to identify causes of Misuse of Public Research Funds, inspect and evaluate the Plan to Prevent the Misuse of Public Research Funds, and amend the plan as necessary.