

Radiation Effects Research Foundation
Plans for Prevention of Misuse of Research Funds

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	Causes of misuse	Plans for prevention of misuse	Responsible section/person
Goods	<ul style="list-style-type: none"> ▪ Not fully understanding the organization's rules ▪ Violation of organization's rules 	<ul style="list-style-type: none"> ▪ Staff members will be instructed to strictly observe the "Guidelines for purchase of goods," which include ban on making orders and verifying delivery of goods by staff other than those in the section in charge of purchase of goods. ▪ As for an external research fund, rules for such research fund should be made known and thoroughly followed. ▪ Vendors will be provided explanations on RERF's contract procedures, payment terms, and methods for delivery of goods. ▪ Obtain a written pledge from vendors with certain track records of transactions assuring that they will not be involved in misconduct. ▪ Actions shall be taken including suspension of transaction in compliance with "Standards for Handling of Suspension of Transaction and Other Actions Relating to Contracts for Purchase of Goods and Services" to any vendors who are involved in misconduct. 	<ul style="list-style-type: none"> ▪ General Affairs Section ▪ Supply and Property Section ▪ Accounting Section, Nagasaki
	Orders for purchase of goods are made mostly at the end of the fiscal year.	<ul style="list-style-type: none"> ▪ Check the research funds execution status in a timely fashion. ▪ In the middle of the fiscal year, each department will be requested to submit the estimated execution of research funds and encouraged to systematically execute research funds. ▪ As for an external research fund, rules for such research fund should be made known and thoroughly followed. ▪ Research scientists and staff in charge of accounting work will be informed of monthly sums of executed external research funds to enhance well-planned implementation. ▪ Concerning Grants-in-Aid for Scientific Research (<i>KAKENHI</i>) and MHLW Scientific Research Grant (<i>kouroukaken</i>) among the external funds, research scientists will be required to submit an annual execution plan before use of the grants. ▪ Based on the aforementioned approaches, staff members concerned will grasp the status of executed research funds including the necessity of the goods purchases, and investigate as required in order to prevent misuse and unintended use. 	<ul style="list-style-type: none"> ▪ General Affairs Section ▪ Administrative Units ▪ Accounting Section ▪ Supply and Property Section ▪ Accounting Section, Nagasaki ▪ Compliance Promotion Managers (research department chiefs and Chief of Secretariat)
Hiring	Regarding hiring of research collaborators and the like based on external research funds, fund-related rules are not fully understood.	<ul style="list-style-type: none"> ▪ The staff members concerned will be thoroughly informed that hiring based on external research funds must be made on the basis of the Personnel Section's confirmation procedures to prevent irregularities such as fictitious or duplicate hiring. ▪ Organizational rules must be followed in terms of procedures for payment of honoraria using external research funds. 	<ul style="list-style-type: none"> ▪ General Affairs Section ▪ Personnel Section

Payment	To confirm relevant documents has lost substance.	<ul style="list-style-type: none"> ▪ All staff members involved in the execution of the research funds until the stage of payment of the funds will be instructed to thoroughly confirm whether there are fabrications or falsifications involving relevant documents in order to prevent false billing based on fabricated business travel, hiring, business transactions, or the like. 	<ul style="list-style-type: none"> ▪ Administrative Units ▪ Accounting Section ▪ Supply and Property Section ▪ Personnel Section ▪ General Affairs Section, Nagasaki ▪ Accounting Section, Nagasaki
Management Systems	<ul style="list-style-type: none"> ▪ Organization overall has not shared information on the handling of research funds or prevention of misuse ▪ Awareness that research funds are public resources (the U.S. and Japanese subsidies, research funds from relevant ministries, etc.) is weak. 	<ul style="list-style-type: none"> ▪ Regarding external research funds, in addition to the administrative staff in charge of the external research funds, other members involved in the execution of the funds will attend explanatory meetings held by the funding organizations for the purpose of sharing information. Also, share information with other employees concerned through explanatory meetings organized by administrative staff. ▪ The Guidelines for Compliance with Ethics and Laws and Regulations will be observed strictly. ▪ Compliance training will be provided repeatedly to improve awareness of fund misuse prevention among RERF employees. ▪ The chapter “Handling of public research spending” in APRIN e-learning program (eAPRIN) will be treated as part of compliance education, in which those concerned are required to participate. 	<ul style="list-style-type: none"> ▪ General Affairs Section ▪ Compliance Promotion Managers (research department chiefs and Chief of Secretariat)
	Monitoring and internal audit systems from the viewpoint of the organization overall are not established	<ul style="list-style-type: none"> ▪ In addition to the current monitoring of the amounts of executed research funds, the organization will improve its execution-monitoring systems for the research funds from the viewpoint of the organization overall. ▪ Results from internal audits including those on external research funds will be provided to those in the sections involved in the audits for improvement and prevention of repeated cases. ▪ The Accounting Section staff and others concerned will be encouraged to participate in training programs on improving the quality of internal audits, when such programs are available. 	<ul style="list-style-type: none"> ▪ General Affairs Section ▪ Accounting Section ▪ Chief of Secretariat
	The organization’s rules have become outdated and detached from social norms.	<ul style="list-style-type: none"> ▪ The sections concerned will review the operational rules and revise content that can induce misuse as needed. 	<ul style="list-style-type: none"> ▪ Chief of Secretariat ▪ General Affairs Section ▪ Personnel Section ▪ Accounting Section ▪ Supply and Property Section ▪ General Affairs Section, Nagasaki ▪ Accounting Section, Nagasaki