Tokyo University of Foreign Studies Plan for the Prevention of Research Misconduct (April 2021-)

I. Measures to prevent research misconduct

1. Pre-emptive action against research misconduct

Objective	Plan for the Prevention of Research Misconduct		Measures	
	Approach	Specific actions	Implementing department	Implementation plan
Improve researcher ethics	**- Conduct research ethics education to raise awareness of professional norms for researchers.**	**- Conduct regular education on research ethics under the supervision of a departmental Research Ethics Education Manager, utilizing appropriate programs and teaching materials on research ethics education developed by the Ministry of Education, Culture, Sports, Science and Technology.**	Office for Prevention of Misconduct Individual departments	○ Promote participation in research ethics programs, etc. - The Office for Prevention of Misconduct will encourage faculty members to take the University's research ethics program (e-learning (eL CoRE)) as appropriate, and overseas their participation as necessary. 　[Target audience] 　Faculty members who have been appointed after April 2021 and faculty members who last took the research ethics program five or more years previously. - Each department provides faculty members with the opportunity to participate in the research ethics program. ○ Hold briefing sessions on research ethics - The Office for Prevention of Misconduct will plan and arrange lectures on research ethics for faculty and staff. - Questionnaires will be handed out at briefing sessions to check that participants have understood the basics. - The Research Ethics Education Manager will ensure that faculty and staff members in various departments attend these briefings, and arrange separate follow-up sessions for those who are unable to attend at the time. ○ Communicate and share information on research ethics - The Office for Prevention of Misconduct will communicate information on research ethics (e.g., University initiatives, examples from other universities, etc.) at internal meetings, etc., as appropriate. Research Ethics Education Manager will provide and share feedback with each department.
			Graduate School of Global Studies School of Language and Culture Studies School of International and Area Studies School of Japan Studies	○ Provide education on research ethics and compliance to students of the University as part of the educational curriculum. ○ Information on research ethics will be communicated to University students as required in order to foster awareness of research ethics and compliance.

II. Proper administration and management of research expenses

1. Clarification of system of responsibilities

| Objective | Plan for the Prevention of Research Misconduct | | Measures | |
	Approach	Specific actions	Implementing department	Implementation plan
Clarify responsibilities and authority	**- Lead managers and administrators at the University will take responsibility and actively promote measures for the prevention of research misconduct internally and externally to ensure proper management and administration of competitive funds. In addition, the roles, area and scope of their responsibilities and authority should be clearly explained and the system of responsibilities will be communicated and published internally and externally.**	**- Create diagram of system of responsibilities and communicate via the University website or briefing sessions.**	Office for Prevention of Misconduct	- Check details based on internal and external circumstances, and review them as necessary.
Raise awareness of compliance matters	**- Conduct compliance education to help researchers understand what constitutes research misconduct.** **- Compliance education should include the following: specific examples of misconduct; the impact of misconduct on the University; matters that must be observed including operating regulations, procedures, and the complaints system; disciplinary action by the University and personal liability for reimbursement of funds in the event that misconduct is discovered; restrictions on eligibility for applications in respect of funding agencies; measures such as the reimbursement of research expenses, and the University's measures against misconduct.**	**- Raise awareness of importance of compliance through communicating the University code of conduct via the University website and briefing sessions.** **- Compile case studies of misconduct at other universities and academic institutions and communicate these to all parties concerned within the University.**	Office for Prevention of Misconduct Individual departments	○Hold compliance briefings - The Office for Prevention of Misconduct will plan and conduct seminars on compliance education for faculty and staff. - Questionnaires will be handed out at briefing sessions to check that participants have understood the basics. - The Research Ethics Education Manager will ensure that faculty and staff members in various departments attend these briefings, and arrange separate follow-up sessions for those who are unable to attend at the time. ○ Communication and sharing of information on compliance - The Office for Prevention of Misconduct will disseminate information on compliance (e.g., University initiatives, examples from other universities, etc.) at internal meetings, etc., as appropriate, and the Research Ethics Education Manager will provide and share feedback with each department.

2. Establishment of an environment that serves as the basis for proper management and administration

| Objective | Plan for the Prevention of Research Misconduct | | Measures | |
	Approach	Specific actions	Implementing department	Implementation plan
Clarify and unify rules	**- Clearly define effective and easy-to-understand rules; maintain an appropriate system of checks to ensure there is no discrepancy between the rules and actual operations; review as necessary.** **- The University should strive to unify its rules and apply these on a consistent basis.**	**- Organize the rules for administrative procedures should in an easy-to-understand manner. Prepare a handbook and other materials; distribute this at briefing sessions and make available on the University website.** **- Compile the most frequently asked questions and create an FAQ information document. Make this available on the website.**	Office for Prevention of Misconduct Finance and Accounting Division Research Promotion Division	Review content of the Handbook on the Use of Research Funds and revise as necessary.
Clarify authority	**- Establish an internal consensus on the authority and responsibility of the staff engaged in the administration of competitive research funds, and clearly define these parameters and communicate what has been agreed upon.** **- Establish an appropriate allocation of duties and ensure there is no discrepancy between the actual division of duties and the rules thereof.** **- Clarify the official duties and authority of the staff involved at each stage.** **- Establish clear procedures for decision-making in accordance with the official duties and authority of staff members.**	**- Create a flow diagram for administrative procedures; clarify the relationship of duties, authority and responsibility for staff members.**	Office for Prevention of Misconduct General Affairs and Planning Division	- Check details based on internal and external circumstances, and review as necessary.
Raise awareness of matters related to misconduct	**- Establish a code of conduct that embodies the University's philosophy as an organization to form the basis for managing the risk of misconduct, and communicate this to all members of staff.**	**- Establish a code of conduct for research activities and a code of conduct for the management and administration of public research funds. Publish these on the University website and communicate these at briefing sessions.** **- Require all faculty and staff involved with public research funds to submit a written pledge to comply with the code of conduct.**	Office for Prevention of Misconduct Individual departments	- The Office for Prevention of Misconduct and each department will disseminate the code of conduct for research activities and management and administration of public funds at the University to faculty and staff through the website, internal meetings, training sessions, etc., in order to raise awareness of misconduct matters. - The Office for Prevention of Misconduct will organize training on research ethics and compliance matters for faculty and staff, and check that they fully understand the content of this training. - The Office for Prevention of Misconduct will distribute training materials related to research ethics and compliance to faculty and staff joining the University after April 2021, ensure that they read this material and sign the pledge against misconduct, and check that they fully understand the issues involved.

3. Appropriate management and administration of research funds

| Objective | Plan for the Prevention of Research Misconduct | | Measures | |
	Approach	Specific actions	Implementing department	Implementation plan
Understand and verify the status of the research budget	**- Check implementation of the budget to ensure that this is consistent with the original plan. If there are any significant delays in implementation of the budget compared to the original plan, check whether there is an issue with execution of the research plan, and if so, take remedial action.**	**- Notify the Compliance Manager of the status of implementation of the budget as required.** **- The Compliance Manager should check the research plan and status, and provide instructions for improvement if required.**	Finance and Accounting Division Individual departments	Take required measures in accordance with the "Specific actions."
Ensure propriety in transactions with vendors	**- It is recommended that all meetings with vendors take place in public areas. This ensures that relationships between faculty and staff and contractors do not become overly close, and helps to foster a supportive framework for business activities and an environment that facilitates consultation. This will also ensure the business environment does not become detached or isolated. As an organization, the University should promote a system that enables smooth communication with vendors.**	**- Ensure that all vendors are aware of the University's ordering, delivery, and inspection processes.** **- Ensure that all vendors are fully aware of actions taken by the University in respect of vendors involved in improper transactions.**	Finance and Accounting Division Library and Information Resources Division	Take required measures in accordance with the "Specific actions."
Ensure propriety in ordering, receipt and inspection process	**- Implement a check system for procurement, including the ordering, receipt and inspection process, to protect against misconduct and ensure the smooth and efficient conduct of research activities. For orders, implementation of the budget, status of transactions, and details of transactions are all formally verified (with instructions for remedial action).**	**- Ensure that all faculty and staff are aware of the University's ordering, delivery, and inspection processes.**	Finance and Accounting Division Library and Information Resources Division	Take required measures in accordance with the "Specific actions."
Ensure propriety for receipt and inspection process for special services	**- Establish clear and effective rules for receipt and inspection of goods (including the development and creation of databases, programs, and digital content, or maintenance/inspection of equipment).**	**- For receipt and inspections that require specialized knowledge, appoint an appropriate person to carry out an effective and reliable inspection.**	Finance and Accounting Division Information Technology Office	Take required measures in accordance with the "Specific actions."
Ensure proper management of part-time employees	**- The Administration Office should conduct interviews, explain the work conditions, check attendance records and employment details at the time of hiring and on a regular basis to ensure that employee management (including aspects such as checking the work status of part-time workers) is not left solely to the research department.**	**- Clarify the procedure by creating a manual for the hiring of part-time employees and an attendance management system, and communicate this to all interested parties.** **- Interview part-time employees to get a better understanding of their working conditions.**	Personnel Division Research Promotion Division Student Exchange Division Institute of Global Studies Administrative Division Office for International Affairs Student Affairs Division	Take required measures in accordance with the "Specific actions."

Manage goods that can easily be converted into cash	- Cashable items should be managed properly by clearly indicating they were purchased with competitive research funds and also by recording the location of items so they can be easily identified. Proper controls should be applied to computers in particular.	- Establish specific criteria, including defining applicable goods and methods for managing highly cashable items, and communicate these throughout the University. - Carry out internal audits, including regular physical checks, to maintain awareness of how these goods are being managed.	Finance and Accounting Division Audit Office	Take required measures in accordance with the "Specific actions."
Check circumstances of research business trips	- In order to ascertain and confirm the status of the implementation of plans for researchers' business trips, request reports on research business trips, destinations, accommodation, scheduled meetings, etc. and check that the purpose of the trip and the expenses allocated for the trip are appropriate and legitimate, including whether there is any duplication of payments.	- Ensure that all researchers submit applications for research business trips in advance with materials showing details of the trip, period, destination, etc. - Based on the research business trip report and related documents, check that the business trip was appropriate and legitimate.	Finance and Accounting Division Institute of Global Studies Administrative Division Student Exchange Division Research Promotion Division	Take required measures in accordance with the "Specific actions."

4. Communication and sharing of information

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Establish and communicate information on consultation services	- Encourage researchers to consult in advance to prevent the occurrence of accidental misconduct. - Usage of the consultation service builds up an accumulation of case studies which can be utilized for education of the University's basic policies and compliance matters.	- Set up a dedicated consultation contact point at the Administration Office, and make these details available on the website.	Office for Prevention of Misconduct	- Check details based on internal and external circumstances, and review as necessary.

5. Proper approach to audits and reviews

Objective	Plan for the Prevention of Research Misconduct		Measures	
	Approach	Specific actions	Implementing department	Implementation plan
Conduct effective audits	- Develop and implement an effective University-wide monitoring system to minimize the risk of misconduct. - Analyze the factors that cause misconduct in accordance with actual circumstances, conduct focused and flexible reviews of risk management and the potential for misconduct. Continually enhance and strengthen organizational systems to check for risk of misconduct.	- Establish standards including auditing methods and carry out systematic internal reviews. - Disclose internal audit findings and areas for improvement to the University to ensure understanding by all parties involved.	Audit Office	Take required measures in accordance with the "Specific actions."