Tokyo University of Foreign Studies
Plan for the Prevention of Research Misconduct

Established March 27, 2015

Tokyo University of Foreign Studies sets forth the following Plan for the Prevention of Research Misconduct based on the "Guidelines for the Prevention of Misconduct in Research Activities of Tokyo University of Foreign Studies" (Regulation No. 71 of 2015) to aid awareness of the factors that lead to misconduct in research activities and provide a response to them.

I. Measures to prevent research misconduct

1. Pre-emptive action against research misconduct

Objective	Plan for the Prevention of Research Misconduct	
	Approach	Specific actions
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.

II. Proper administration and management of research expenses

1. Clarification of system of responsibilities

Objective	Plan for the Prevention of Research Misconduct	
	Approach	Specific actions
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.
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.

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

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	Approach	Specific actions
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 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.
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.
Raise awareness of matters related to misconduct	- Establish a code of conduct that embodies the University's philosophy as an organization to form 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.

3. Appropriate management and administration of research funds

Objective	Plan for the Prevention of Research Misconduct	
	Approach	Specific actions
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.
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.
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	- Ensure that all faculty and staff are aware of the University's ordering, delivery, and inspection processes.

	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 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.
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.
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.
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.

4. Communication and sharing of information

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	Approach	Specific actions
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.

5. Proper approach to audits and reviews

Objective	Plan for the Prevention of Research Misconduct	
	Approach	Specific actions
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.