

**Unlawful Act Prevention Plan Pertaining to Research Activities at the  
National Graduate Institute for Policy Studies**

April 8, 2008  
Decision of the President

Revised by: January 27, 2015  
April 1, 2022

	Operations to be worked on for prevention of unlawful acts	Operations to be conducted by researchers, etc.	Operations to be worked on by the Administrative Bureau
I Unlawful act prevention plan pertaining to research funds			
Common items	<ul style="list-style-type: none"> <li>* Manuals pertaining to budget execution shall be properly maintained.</li> <li>* Information shall be shared through internal seminars and workshops and notices via intranet bulletin boards.</li> <li>* Awareness raising activities shall be carried out on a regular basis with the aim of raising and instilling awareness regarding the prevention of unlawful acts among researchers.</li> <li>* A pledge for the prevention of unlawful acts in research and unlawful use of research funds shall be obtained from newly recruited employees.</li> <li>* In terms of the prevention of cozy relations between vendors and researchers, a pledge for the prevention of unlawful transactions shall be obtained from vendors.</li> <li>* Initiatives to promote planned budget execution shall be carried out so that budget execution will not take place unevenly, only during a specific period.</li> </ul>	<ul style="list-style-type: none"> <li>* Efforts shall be made to maintain a full knowledge of manuals pertaining to budget execution and research funds shall be properly used.</li> <li>* Researchers shall participate in internal seminars of grant-in-aid for scientific research, etc.</li> <li>* Researchers shall submit a pledge for the prevention of unlawful acts in research and unlawful use of research funds without delay upon employment.</li> <li>* The status of budget execution regarding research funds shall be checked on an online system as needed, and budget execution shall be managed properly based on a research plan.</li> </ul>	<ul style="list-style-type: none"> <li>* Manuals pertaining to budget execution shall be properly maintained, updated, and communicated throughout the university.</li> <li>* The Administrative Bureau shall make researchers and others understand the system through internal seminars workshops and intranet bulletin boards.</li> <li>* The status of participation in internal seminars and workshops shall be checked and notice shall be given to demand participation.</li> <li>* Awareness raising activities targeting researchers, etc. shall be carried out using such means as faculty meetings and a mailing list to impart the results of internal audits to them.</li> <li>* The submission of a pledge pertaining to unlawful act prevention shall be requested from vendors with high transaction amounts (as a general rule, annual transaction amount of 3 million yen and over).</li> <li>* The procedure for budget execution at the end of each fiscal year shall be made known throughout the Institute, and confirmation shall be made with laboratories where research funds are concentrated or which have acquired a large amount of research funds, about their plans to execute the budget within the relevant fiscal year.</li> </ul>
Honorariums and wages	<ul style="list-style-type: none"> <li>* Work Record Sheets and other documents regarding employment shall be managed at the Administrative Bureau.</li> </ul>	<ul style="list-style-type: none"> <li>* Administrative procedures necessary for payment of honorariums shall be properly conducted.</li> <li>* Matters related to arrangement of necessary documents for employment (resumes, bank transfer request forms, etc.) shall be properly conducted. (excluding cases of being conducted at the Administrative Bureau)</li> <li>* Upon employment, the working hours and details of duties of employees shall be properly managed.</li> </ul>	<ul style="list-style-type: none"> <li>* Randomly selected on-site confirmation shall be conducted to confirm the identity of the employed persons based on the employment plan.</li> </ul>

<p>Purchases of goods, etc.</p>	<ul style="list-style-type: none"> <li>* In terms of the prevention of cozy relations between vendors and researchers, clerical staff shall be present in meetings regarding purchase of goods, etc. of 500,000 yen and over in principle.</li> <li>* Orders by faculty members are not permitted except for out-of-pocket expenses up to 100,000 yen.</li> <li>* A reimbursement of up to 100,000 yen may be claimed only for goods purchased online (in principle, reimbursements may not be claimed for goods purchased at stores).</li> <li>* Vendors shall be properly selected and delivery and acceptance inspection shall be conducted.</li> </ul>	<ul style="list-style-type: none"> <li>* Orders for goods shall be placed based on an order placement request form.</li> <li>* Delivered goods shall be confirmed based on a request from the Budget and Accounting Division.</li> <li>* In cases of out-of-pocket expenses, efforts shall be made to properly select the vendor and achieve efficient procurement.</li> <li>* In cases of out-of-pocket expenses, the applicable goods shall receive an acceptance inspection with a request for reimbursement at the Budget and Accounting Division (by bringing the goods to the division or sending photos of the goods to the division).</li> </ul>	<ul style="list-style-type: none"> <li>* Clerical staff shall be present in meetings regarding purchase, etc. of goods of 500,000 yen and over in principle.</li> <li>* Confirmation of delivery and acceptance inspection of delivered goods shall be conducted by a person other than the person who requested the purchase, etc. of the goods and the person in charge of the contract.</li> <li>* In addition to purchases of goods, delivery and acceptance inspection shall be properly conducted for storage and management when goods are acquired based on contracts for special service (database development, creation, etc.).</li> </ul>
<p>Goods management</p>	<ul style="list-style-type: none"> <li>* Proper management shall be conducted of goods that cost 100,000 yen and over, and goods that have a high cash value.</li> <li>* In order to prevent the improper management of goods, follow-up checks of goods shall be conducted through sampling.</li> </ul>	<ul style="list-style-type: none"> <li>* Goods that have been purchased, etc. shall be properly managed.</li> <li>* Researchers who wish to dispose of goods that cost 100,000 yen and over, and goods that have a high cash value shall notify the Budget and Accounting Division in advance.</li> </ul>	<ul style="list-style-type: none"> <li>* Proper management shall be conducted of goods that cost 100,000 yen and over, and goods that have a high cash value through means such as attaching stickers stating that the goods are university property.</li> <li>* Follow-up checks shall be conducted through sampling to ensure that goods are being properly managed.</li> </ul>
<p>Business outsource</p>	<ul style="list-style-type: none"> <li>* In terms of prevention of cozy relations between vendors and researchers, clerical staff shall be present in meetings in principle.</li> <li>* In cases where it is difficult to rely on other vendors, objective and rational reasons shall be clarified.</li> </ul>	<ul style="list-style-type: none"> <li>* Requests for business outsource shall be made with written documents.</li> <li>* In cases where it is difficult to rely on other vendors, a document of reasons clearly stating objective and rational reasons shall be submitted.</li> </ul>	<ul style="list-style-type: none"> <li>* Clerical staff shall be present in meetings in principle.</li> <li>* An internal audit shall be conducted as needed in terms of contents of operations and selection of vendors.</li> </ul>
<p>Travel expense</p>	<ul style="list-style-type: none"> <li>* To prevent fraudulent acquisition by fake business trips and padded business trips, the following matters shall be conducted. <ul style="list-style-type: none"> <li>- A travel report (mission report) shall be submitted even for a case of a one-day business trip.</li> <li>- A business traveler shall submit the following documentary evidence. <ol style="list-style-type: none"> <li>1. A copy of a notification of a meeting (excluding cases of being confirmed by internal timetable of events, etc.) and a program of an academic meeting.</li> <li>2. Receipts of airfares, express charges, etc.</li> <li>3. Estimates by which contents and a breakdown of receipts can be confirmed</li> <li>4. Documents which certify the fact of boarding such as used stubs of air tickets</li> <li>5. In cases of an overseas trip, an overseas trip plan in addition to 1-4 above.</li> </ol> </li> <li>- In cases of business trip with lodging, the name of the accommodation venue shall be written in a travel report (mission</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>* In submitting a travel report (mission report), the following matters shall be conducted. <ul style="list-style-type: none"> <li>- A business traveler shall submit the following documentary evidence. <ol style="list-style-type: none"> <li>1. A copy of a notification of a meeting and a program of an academic meeting.</li> <li>2. Receipts of airfares, express charges, etc.</li> <li>3. Documents by which contents and breakdown of receipts can be confirmed</li> <li>4. Documents which certify the fact of boarding such as used stubs of air tickets</li> <li>5. In cases of an overseas trip, an overseas trip plan in addition to 1-4 above</li> </ol> </li> <li>- In cases of business trip with lodging, the name of the accommodation venue shall be written in a travel report (mission report). Unsubmitted receipts of accommodation shall be stored for one month.</li> </ul> </li> <li>* In cases of business including research meetings, the affiliation and names of the other parties shall be specified in a travel report (mission report).</li> </ul>	<ul style="list-style-type: none"> <li>* To prevent fake business trips and padded business trips, attendance at or absence from internal meetings on the days of business trips shall be investigated properly.</li> </ul>

	<p>report). In addition, the fact of lodging shall be confirmed properly by a receipt.</p> <p>* In cases of business including research meetings, the affiliation and names of the other parties shall be specified in a travel report (mission report).</p>		
<p>II Unlawful act prevention plan pertaining to research activities</p>	<p>* To prevent fabrication, falsification, plagiarism, and other unlawful acts, seminars and workshops shall be held, and these matters shall be explained to new students at the enrollment guidance session.</p>	<p>* Researchers shall participate in internal seminars, workshops, and the enrollment guidance session.</p>	<p>* The Administrative Bureau shall make researchers and others understand the system through internal seminars, workshops, and the enrollment guidance session.</p>

**Supplementary Note**

This plan shall be implemented from May 1, 2008.

**Supplementary Note (January 27, 2015)**

This plan shall be implemented from April 1, 2015.

**Supplementary Note (April 1, 2022)**

This plan shall be implemented from April 1, 2022.