

Revised January 7, 2026

Basic policy for prevention of the misuse of research funds at Kochi University of Technology

President (Chief Administrator)

Kochi University of Technology has established the following basic policy for prevention of improper use of research funds and to ensure proper implementation, administration and management of those funds.

1. Responsibility framework

1) Responsibility framework for the administration and management of research funds

Each person in charge of any aspect of the administration and management of research funds shall be responsible both within and outside the university for the prevention of fraud and shall actively promote measures to achieve that end. The University shall clarify the role, responsibility, scope, and authority of each responsible person, and shall publicize the responsibility framework both within and outside the university.

2) Roles of the auditors

As the auditors are mandated to audit the University's operations and offer their opinions directly to the President, they are required to review the management and administration of research funds as an important audit subject; to regularly report the results of their audits to the Education and Research Council; and to offer their opinions on matters of concern.

3) Expected behavior of university members

In order to raise and instill awareness of the prevention of misconduct among all university members, the University shall stipulate the behavior expected of members in a code of conduct; thoroughly ensure that all members are aware of that code of conduct through compliance training; and publicize the content of that code of conduct outside the University.

2. Creation of an environment that serves as the foundation for proper administration and management of research fund use

- 1) Implementation of compliance education and awareness-raising activities (raising awareness among all stakeholders)

The University shall implement compliance education and ongoing awareness-raising activities aimed at eradicating misconduct by all members involved in the operation and management of research funds.

- 2) Establishment and standardization of rules

Rules for administrative procedures related to research funding shall be clarified and revised as necessary, and unified application shall be ensured. Furthermore, these rules shall be made clear to all members involved in the usage, management and administration of research funding.

- 3) Definition of administrative authority

The authority and responsibilities of each member regarding the administrative processing of research funds shall be precisely defined, and a shared understanding of those responsibilities shall be established within the University.

- 4) Establishment of regulations regarding the handling of allegations including accusation and whistleblowing; related investigations and disciplinary actions; and transparency of implementation of such handling.

The University shall establish a contact point for receiving allegations from both within and outside the university, and shall establish regulations that clearly outline the structure, procedures, and disciplinary actions for the investigation of misconduct. Furthermore, the results of all investigations into allegations of misconduct, and the disciplinary actions taken will be made known throughout the University.

3. Identification of factors leading to misconduct and development and implementation of a misconduct prevention plan.

- 1) A department in charge of promotion of the misconduct prevention plan shall be formed.
- 2) The factors that lead to misconduct shall be identified and a specific misconduct prevention plan shall be developed and implemented.

4. Proper usage, management and administration of research funds

Appropriate budget execution in accordance with the anti-fraud plan shall be conducted. Collusion with vendors shall be prevented and potential issues that could lead to fraud shall be identified by creating, operating, and implementing a system that effectively allows for independent checks by disinterested parties.

5. Promoting dissemination and sharing of information

The University shall establish a consultation desk to receive inquiries from both within and outside the university regarding rules governing the use of research funds, and publicize the institution's policies regarding efforts to prevent misuse of research funds.

6. Monitoring methods

The University shall establish and implement an effective monitoring system from a university-wide perspective; analyze causes of misconduct; and conduct focused and flexible audits to address the risk of misconduct, with the aim of constantly improving and strengthening organizational checks and balances.