

Goods Inspection System

The Guide to Acceptance Inspection Center for Orderers

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Acceptance Inspection Center
Asset Management Section, Division of Facilities and Asset Management
Shibaura Institute of Technology

1. Introduction

For the purposes of using public and other research funds appropriately and preventing misconduct in research and education, Shibaura Institute of Technology opened the Acceptance Inspection Center in Toyosu, Omiya and Shibaura Campuses on April 1, 2015, with the center staff checking and inspecting goods delivered.

Regardless of the amount expended, the Acceptance Inspection Center inspects all goods that are procured using public research funds and division budgets. (Please see below for details.)

Researchers of other universities have been found to engage in intentional or negligent misuse, resulting in serious outcomes including not only penalties on them but also the suspension of research funds for their universities over the next several years. Please understand that the acceptance inspection system is intended to prevent those results from occurring and protect individual researchers.

The following is an outline of how inspection of all goods is conducted.

Guidelines for management and auditing of public research funds at research institutes (implementation standards)

(Determined by the Minister of Education, Culture, Sports, Science and Technology on February 15, 2007, revised on February 18, 2014, revised on February 1, 2014)

After formulating the guidelines, in February 2014, based on the discussions at the "Meeting of Experts on Proper Management of Public Research Funds", revisions were made to add new content, and each institution established a management / audit system based on the guidelines. As a result of the progress, the number of fraudulent cases through traders has decreased significantly.

However, fraudulent cases related to rewards, salaries, travel expenses, etc. are on the rise, and research fund fraud still occurs in various forms. (Omitted)

This amendment strengthens fraud prevention measures with the three pillars of (1) strengthening governance, (2) awareness reform, and (3) strengthening fraud prevention system, based on the factors that still cause fraudulent research funds. In order to promote more effective efforts while considering the efforts of each institution, the description of the previous guidelines will be further concreted and clarified.

(Excerpt from the Ministry of Education, Culture, Sports, Science and Technology website)

2. Purpose for inspection of all goods

The introduction of inspection of all goods intends to realize Section 4 “Appropriate management of research costs” of the Guidelines for Management and Auditing of Public Research Costs in Research Institutions (February 2021) and thus prevent misconduct such as fictitious ordering.

3. Inspection flow

(1) Budgets (financial sources) to be inspected

Competitive research funds (scientific research costs, government competitive funds, etc.), education and research budgets for departments, Special funds for education and research budgets, Encouragement of research budgets, and Commissioned research budgets.

* Administrative budgets not included. However, budgets regarded as competitive research funds that require inspection shall be included.

(2) Target of inspection

All goods that fall under (1) above, including consumable supplies less than 200 thousand yen (“Everything to be inspected”).

(3) Inspection method

Goods are inspected at the Acceptance Inspection Center in Toyosu, Omiya and Shibaura Campuses. In principle, all goods to be inspected need to be brought to the Center and undergo inspection by the Center staff (with a few exceptions). You cannot get paid for goods that have not undergone acceptance inspection.

■Acceptance Inspection Center at Toyosu Campus

3-7-5 Toyosu, Koto-ku, Tokyo 135-8548

Classroom & Administration Building 1F (Side of entrance near Control Center)

■Acceptance Inspection Center at Omiya Campus

307 Fukasaku, Minuma-ku, Saitama-shi, Saitama 337-8570

Building No.5, 1F (Side of entrance near Academic Affairs Section)

■Acceptance Inspection Center at Shibaura Campus

3-9-4 Shibaura, Minato-ku, Tokyo 108-8548

7F (The same room with Academic & Student Affairs Section)

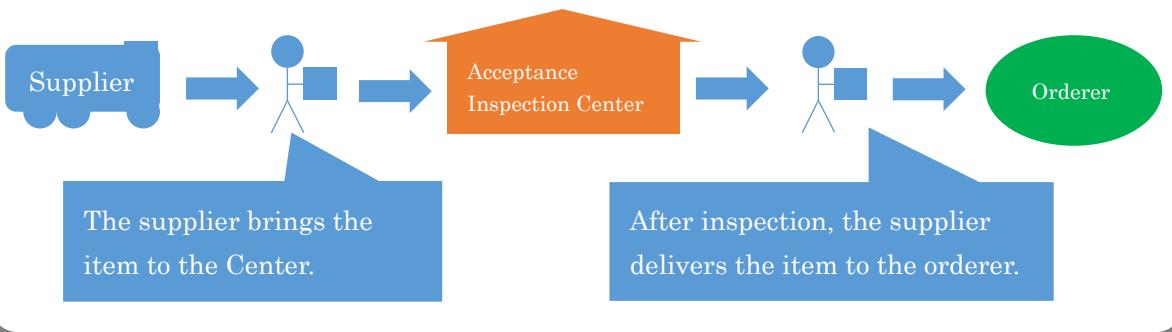
4. Inspection details

Goods and supplies procured using the budgets specified in 3(1) must undergo inspection according to the following patterns.



Pattern A (Supplier)

The supplier stops by at the Acceptance Inspection Center before delivery.



[Inspection method]

Before delivery, the supplier brings the item to the Acceptance Inspection Center to undergo inspection. After inspection, the supplier delivers it to the orderer.

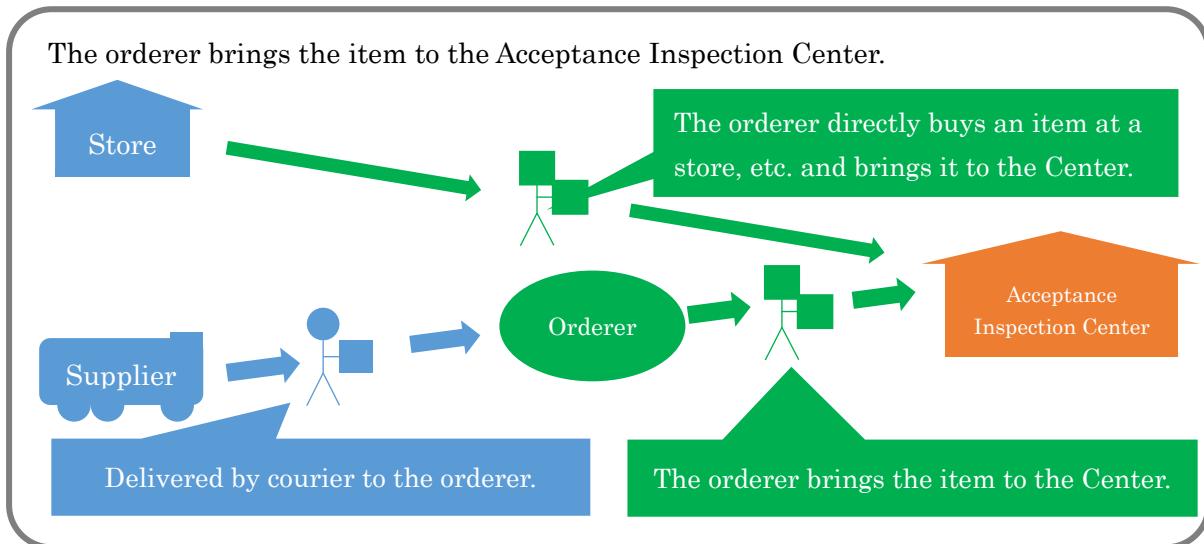
[Note]

Items less than 200 thousand yen continue to be ordered directly by researchers, who have to direct the supplier to stop by at the Acceptance Inspection Center before delivery. If the supplier bypasses the Center and directly delivers an item to the orderer, the orderer is required to bring it to the Center to undergo inspection.



Pattern B (Bringing in)

Includes cases where the orderer purchases an item through the internet and directly receives it from the supplier via courier or buys an item at a store (including the Co-op) and brings it back to the office.



[Inspection method]

When the orderer directly buys an item at a store or directly receives an item at the office via courier, the orderer brings it to the Acceptance Inspection Center to undergo inspection.

(It is possible to open the outer box of the delivery cardboard to confirm the inclusion of the delivery note.)

[Note]

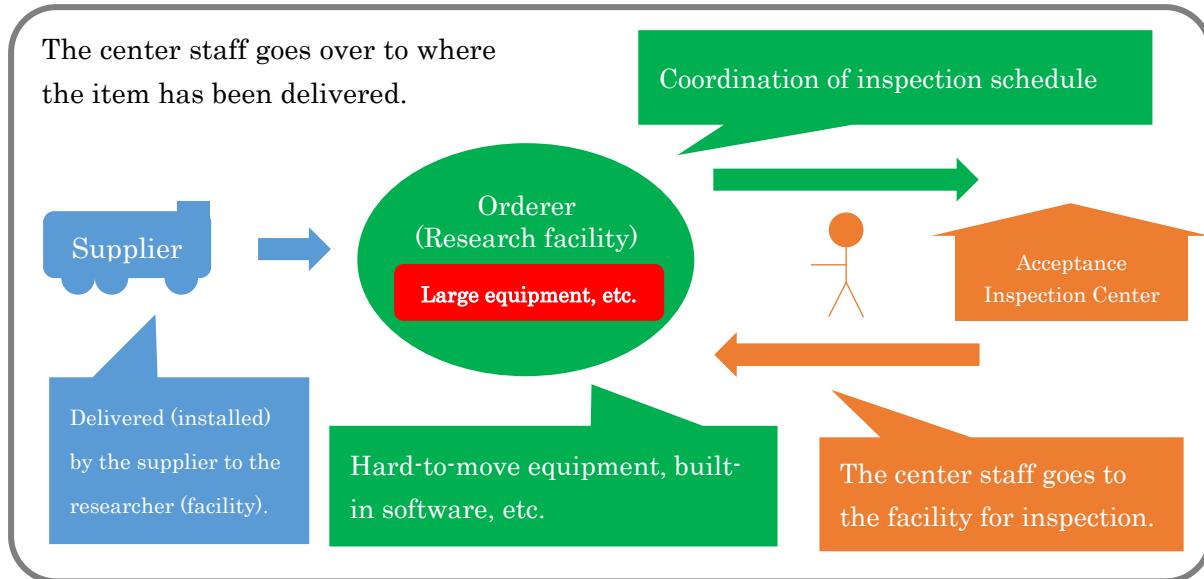
In principle, the orderer is required to keep the item unopened and unused when bringing it to the Acceptance Inspection Center.

If you have to use the item before inspection due to urgent circumstances, be sure to take a photo before use and submit it to the Center when you bring in the item.



Pattern C (Going over)

Items that are difficult to bring to the Acceptance Inspection Center, such as large equipment and built-in software.



[Inspection method]

In consultation with the orderer, the Acceptance Inspection Center staff goes over to where the item has been delivered (such as the research facility) and conducts inspection together with the supplier and orderer.

※Application deadline of Going-over inspection is 4 p.m. on that day.

[Note]

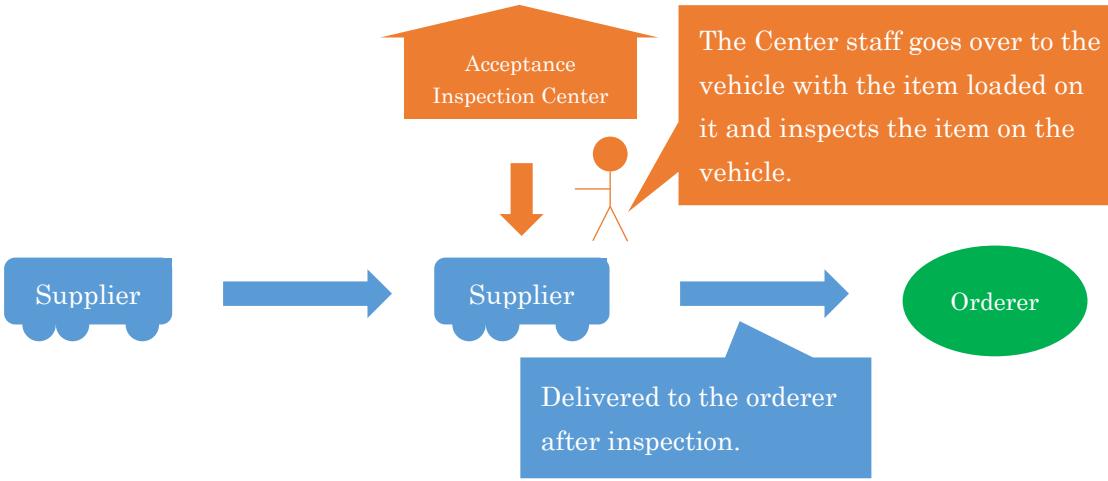
Equipment consisting of components should be inspected after they are assembled to make the equipment operable. When inspecting built-in software, its start-up screen needs to be shown. In the case of built-in parts (such as CPU, motherboard, and graphic card), please bring them to the Center before they are built in the equipment.



Pattern D (Vehicle)

Items that cannot be unloaded at the Acceptance Inspection Center for inspection, such as gas cylinders and liquid samples.

Inspection to be conducted on the vehicle.



[Inspection method]

The item is inspected on the vehicle before it is built into the equipment.

[Note]

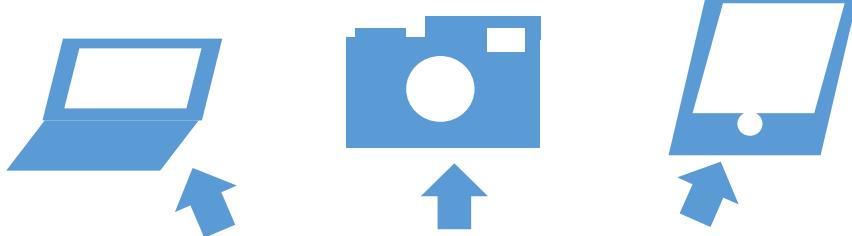
The orderer is required to consult with the supplier in advance about the delivery date (time) of a reagent, etc. Be sure to receive it on that date, not causing the supplier to bring it back. A special label is put on the reagent container to prevent it from being resold after it is brought back. (This system on Toyosu campus will start in 2022)



Pattern E (Prevention)

Designated goods that are procured as Consumable Supplies less than 200 thousand yen (e.g. highly negotiable items, which mean items that can easily be exchanged with money).

A security seal to be put on both the item and the delivery letter.



[Inspection method]

A security seals (to prevent reselling) are put on both items and delivery letters after they are inspected. Inspection Center will manage the items until their disposal.

[Designated goods (highly negotiable items)]

In “the Guidelines”, MEXT designates the following items as highly negotiable items that should be managed carefully to **prevent reselling**.

https://www.mext.go.jp/a_menu/kansa/houkoku/1343904_21.htm

Item	Detail (example)
PC	Laptop computer, desktop computer, VR computer, or other equipment with the functions of recording & a computer.
Tablet computer	iPad, digital paper, smart phone, wearable device (e.g. Apple Watch), other equipment with the functions of recording & a computer.
Digital camera	Compact digital camera, DSLR digital camera, 360-degree camera, small digital camera, or other equipment that can record a still image.
Video camera	Video camera, drone with video camera, or other equipment that can record a movie (moving image).
TV	TV
Recording equipment (audio/video)	IC recorder, DVD recorder, Blu-ray recorder, or other equipment with the functions of recording (audio/video).



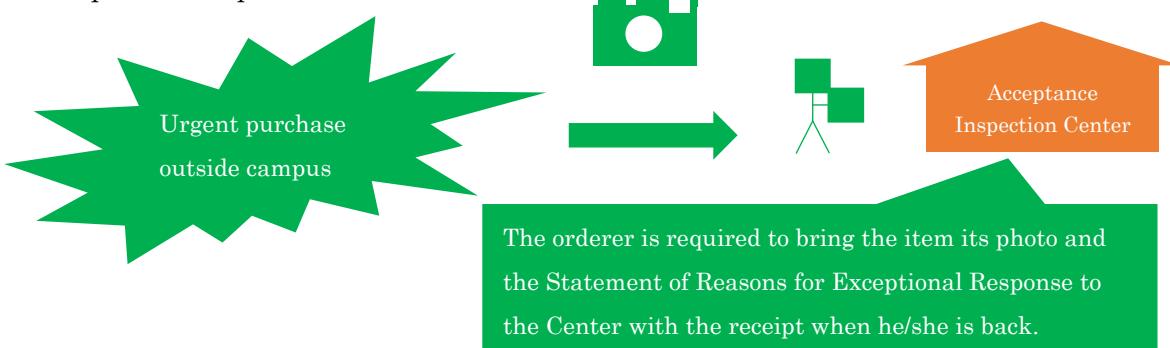
Pattern F (Photo)

Photo-based inspection.

Exceptional emergency response in the case of:

- the orderer procuring an item (consumable) urgently off-campus (e.g. during business trip).
- the orderer being in sudden need of an item at an external research facility.
- the orderer being in need of an item for research purposes outside business hours of the Center.

Please fill in the reason for photo acceptance in the Statement of Reasons for Exceptional Response.



[Inspection method]

The orderer is required to visit the Acceptance Inspection Center immediately after he/she is back and to present the item itself with its photo (data) he/she took before using the item, the Statement of Reasons for Exceptional Response, and the receipt.

[Note]

Before using the item you procured off-campus, be sure to take a pre-use photo of the opened item along with the delivery note and receipt, for checking its name or quantity of them.

And please bring both the goods and the photos if you still have goods.



List of inspection necessity

Inspection shall be conducted in a timely and appropriate manner. If you have any question, please contact the Acceptance Inspection Center.

[Inspection necessity] ○=Necessary ×=Unnecessary △=Partially necessary

Item		Inspection method (example)
Chemical	○	Put special labels on containers after inspection at the Center.(Excluding those that cause deterioration or danger of chemicals due to opening of the sealing film, or recycling containers that need to be returned, etc.) In absence of the orderer, the item should be brought back because the department office cannot store it.
Experimental organism	○	Direct delivery to the research facility on the condition that the orderer is present (prior confirmation with the supplier). After delivery, the Center staff goes over to the facility to inspect the item.
Software (not built-in software)	○	Direct delivery to the research facility on the condition that the orderer is present (prior confirmation with the supplier). After delivery, the Center staff goes over to the facility to inspect the item.
Subscription fee	○	Inspect the first issue delivered. In the case of advance payment, inspect the application form (with the catalogue attached, if any).
Equipment repair	○	Inspect the repaired item based on the repair report.
Electric book	○	<u>Inspect the software installed</u> on the device (PC, etc.) for confirmation of <u>delivery (download)</u> by going over <u>(Pattern B)</u> or bring in <u>(Pattern C)</u> .
Travel expense (business trip, accommodation)	×	
Labor cost, reward	Document organization, experiment assistance	×
	Part-timer employment	×
	Gift, book coupon	× Submit a gift list to the accounting department.
Academic papers / Collection of academic papers	△	<u>Inspection necessary</u> - When buying a collection of papers alone. - Even if a conference fee includes the price of collections of papers, buying more volumes separately than the specified limit is subject to inspection. - For electronic treatises whose viewing period is only the academic conference, bring photo of the screen and documents of its payment details.
Academic meeting materials (proceedings, etc.)		<u>Inspection unnecessary</u> - Manuscript submission fee; article processing charge.

		<ul style="list-style-type: none"> - When a conference fee includes the price of collections of papers. <p>* If the price of collections of papers is charged separately from the annual membership fee, inspection is necessary.</p>
Annual membership fee	×	When the price of collection of papers is charged along with the annual membership fee, inspection is necessary if it is not included in the annual membership fee.
Outsourcing	Book, publication, copy, image development	<input type="radio"/> Inspect the all delivered item. *Please consult with Acceptance Inspection center before distributing.,
	Translation, proofreading, audiotyping, correction, etc.	<input type="radio"/> Inspect the deliverable. If the printing volume is large, PC screen for acceptance inspection is also OK.
	Program development, data analysis, website production cost	<input type="radio"/> Inspect the deliverable. (Includes the website renewal cost.) Bring documents that show the specifications and work instructions.
	Survey	<input type="radio"/> Inspect the deliverable such as reports and questionnaire results.
	Processing cost	<input type="radio"/> Inspect the drawing, item, work report, etc. Bring documents that show the specifications and work instructions.
Stamp, postcard, Letter Pack, SIM card	×	Inspection unnecessary for communications and transportation costs.
Rental fee (experimental equipment, etc.)	<input type="radio"/>	For an item that is replaced regularly, confirm the actual one at the time of contract conclusion and renewal. Photo-based inspection for external rental.
Meeting-related cost	×	Inspection is unnecessary for the venue rental fee and conference food and drink cost.
Maintenance cost	△	Software maintenance involving version upgrades does not require acceptance inspection. Equipment maintenance does not require acceptance inspection at the time of payment, but the actual equipment will be checked on an irregular basis.
Participation fees for training and seminars Museum entrance fees, etc.	×	If the participation fee/entrance fee is separate from the cost of materials, etc., the cost of materials must be inspected.
Equipment usage fees for off-campus facilities	△	Acceptance inspection is required when experiments using the equipment result in deliverables. Equipment usage fees for training, etc. do not require acceptance inspection. (No deliverables will be generated.)

5. What is necessary for inspection, and other matters

Other than the item to be inspected, the following documents are necessary for inspection.

If the item is **Consumable Supply** less than 200 thousand yen, the orderer places an order by herself/himself, and the following documents ((2) Necessary documents) will be required for inspection. All the necessary documents and the delivered item should be brought in to the Center.

In principal, if the item is **Equipment /Fixture** costs 200 thousand yen or more, **the Asset Management Section places an order** and thus there is no necessity for action for inspection by orderer. If the orderer places an order for Equipment /Fixture costs 200 thousand yen or more directly to the supplier due to special circumstances, the orderer herself/himself is required to bring the item to the Center for inspection.

(1) Necessary items

- All goods procured
 - When you procured more than one, please get all of them to be inspected.
 - In the case of software, bring in its package. In the case of downloaded software, bring in the note PC with the software installed.

(2) Necessary documents

- Less than 200 thousand yen (Consumable supplies)
 - Delivery slip or receipt

The name on the necessary documents should be “Shibaura Institute of Technology, Your Name.” Your name only or “上様” is not accepted.

※From April 2019, Equipment /Fixture (Asset) that costs 200 thousand yen or more shall be ordered by the Asset Management Section, and be delivered to the Center of each campus. After delivery and inspection at the Center, the Center staff will contact administrative staff in each department who will pick up the inspected item and deliver it to the orderer.

※ When large equipment or precision equipment that is difficult to open at the acceptance inspection center is delivered to the installation site designated by the user, a member of the acceptance inspection center will be present to open the package for acceptance inspection.

(3) Location of Acceptance Inspection Center

■ Toyosu Campus

Classroom Building 1F (Side of entrance near Control Center)

Phone: 03-5859-7300

■ Omiya Campus

Building No.5, 1F (Side of entrance near Student Affairs Division)

Phone: 048-720-6560

■ Shibaaura Campus

7F (The same room with Student Affairs Division)

Phone: 03-6722-2590

(4) Business hours

Monday to Friday 9:00–17:00

* Except for summer/New Year holidays and during the SIT entrance exam period.

* Business hours may change during the summer shift period.

* The Center staff may leave seat for a short while to inspect large equipment, etc.

* Please check opening dates on calendar of the Acceptance Inspection center.

Inspection is conducted on a day (during the contract delivery period) when you receive the item from the supplier. If you can't undergo inspection on that delivery date, you must complete inspection **within 5 days** from the delivery date.

If the contract delivery deadline is set on a non-working day like Saturday, Sunday or holiday, the next working day is regarded as the contract delivery deadline. This also applies to repair and maintenance services.

Misconduct examples

We at METI received from University A an investigation report about inappropriate use of research funds and confirmed that the university was engaged in accounting fraud in research projects subcontracted by METI.

So we have decided to suspend the provision of subsidies to University A for a certain period of time and restrict researchers involved in the fraud from applying for all research funds awarded by METI for a certain period of time. We also made University A return part of the funds they had fraudulently received and will ask them to return the remaining funds.

(Excerpt from the METI materials)

Misconduct examples

1. Fictitious ordering

Collude with the supplier to pretend to order consumable supplies, and have the supplier charge the price. Money paid is stocked for future research funds to be used by the relevant researchers.

2. Cheat on volume

Collude with the supplier to pretend to order more consumable supplies than necessary, and have only the necessary number of them delivered. The rest processing is the same as above.

3. Excessive ordering

Order an extra amount of expensive consumable supplies and have them delivered. Extra supplies will be diverted separately.

4. Unintended use

Purchase an item (fixture, consumable, etc.) that is not included in the original research plan and have the supplier charge the cost under the name of an item that is in line with the research purpose. Pretend to receive an item necessary for research, and get paid.

5. Diversion of receipts

Research funds do not include costs for entertainment. So replace a receipt for entertainment expenses (club, karaoke, golf, etc.) with a receipt for private dinner, etc. and charge the expenses under the category of meeting expenses.

6. Abuse of reimbursement for out-of-pocket expenses

Exploit the reimbursement for out-of-pocket expenses for a small amount of supplies and rare components. Submit a receipt used for another purpose as if you spent your own money for consumable supplies necessary for your research.