

○ Rules on Handling of Research Funds and Prevention of Unauthorized use at National University Corporation Kobe University

(Established on September 28, 2007)

**Revised on:** January 20, 2015 March 31, 2015

(Purpose)

Article 1 The purpose of these Rules is to provide for the necessary matters pertaining to the handling of research funds made to the National University Corporation Kobe University (hereinafter referred to as "University") and the prevention of unauthorized use to ensure appropriate management of such funds.

(Definitions)

Article 2 The term "Research Fund" as used in these Rules means public research fund centering on competitive funds distributed from public organizations, as well as management expenses grants, contributions, collaborative research fees and other expenses used for research at the University.

2 The term "Department" as used in these Rules means the budgetary unit prescribed in Article 2, paragraph 1 of the National University Corporation Kobe University Accounting Rules (established on April 1, 2004; hereinafter referred to as "Accounting Rules").

3 The term "Constituent Members" as used in these Rules means officers, staff members (including non-regular staff members) and all persons relating to the administration of Research Funds of the University.

4 The term "Unauthorized Use" as used in these Rules means the use of Research Funds for other purposes intentionally or due to gross negligence, or the use of Research Funds against the grant's purpose or usage conditions and the use of Research Funds contravening laws and regulations, etc. and the University Rules, etc.

(Head Custodian of Research Funds)

Article 3 The University shall have a head custodian of Research Funds (hereinafter referred to as "Head Custodian"), the President serves as the Head Custodian.

2 The Head Custodian shall decide on important matters concerning the administration of Research Funds as the person bearing the final responsibility for the administration of the Research Funds, while supervising the supervisory custodian of Research Funds prescribed in the following Article and the promoter responsible for compliance of Research Funds prescribed in Article 5 and taking the necessary measures to enable the appropriate administration of the Research Funds.

(Supervisory Custodian of Research Funds)

Article 4 The University shall have a supervisory custodian of Research Funds (hereinafter referred to as "Supervisory Custodian") who shall be designated by the President from among Executive Vice Presidents.

2 The Supervisory Custodian shall assist the Head Custodian and supervise duties pertaining to the administration of Research Funds based on the instructions of the Head Custodian.

(Promoter Responsible for Compliance of Research Funds)

Article 5 The University shall have a promoter responsible for the compliance of Research Funds (hereinafter referred to as "Promoter Responsible") who shall be designated from among the Department Heads.

2 The Promoter Responsible shall implement measures for the prevention of unauthorized use at Departments under the instruction of the Supervisory Custodian as the person carrying out the administration of Research Funds at

departments, while monitoring the Constituent Members' management and the execution status of Research Funds, and making improvements where necessary.

(Deputy Promoter Responsible for Compliance of Research Funds)

Article 6 A Department may have a deputy promoter responsible for the compliance of Research Funds (hereinafter referred to as "Deputy Promoter Responsible").

2 The Deputy Promoter Responsible for the compliance of Research Funds shall assist the Promoter Responsible and engage in duties concerning the administration of Research Funds in Departments in accordance with the instructions of the Promoter Responsible.

3 Necessary matters concerning the Deputy Promoter Responsible shall be prescribed by the Promoter Responsible.

4 The Promoter Responsible shall promptly inform the Supervisory Custodian of the name and scope of duties of the Deputy Promoter Responsible when having a Deputy Promoter Responsible. The same applies when this was changed.

(Responsibilities of Constituent Members)

Article 7 Constituent Members must comply with the initiatives, guidelines, etc. in accordance with laws and regulations and these Rules, as well as submit a written document pledging to comply with these (hereinafter referred to as "Written Oath").

2 The Head Custodian may forbid a Constituent Member who does not submit the Written Oath from making applications pertaining to Research Funds and from engaging in the administration of Research Funds.

(Research Funds Compliance Committee)

Article 8 There will be a Kobe University Research Funds Compliance Committee (hereinafter referred to as "Compliance Committee") for the purpose of investigating and deliberating on matters concerning reported incidents pertaining to unauthorized use prevention and Unauthorized Use at the University.

2 Necessary matters concerning the Compliance Committee shall be prescribed separately.

(Promotion Division of the Plan for Preventing Unauthorized Use of Research Funds)

Article 9 The Head Custodian shall make the Internal Control Office the promotion division for the plan for preventing unauthorized use of Research Funds and make them carry out the necessary duties so as to promote the plan for preventing unauthorized use of Research Funds prescribed in Article 12 from a University-wide viewpoint.

(Basic Policy)

Article 10 The Head Custodian shall formulate a basic policy (hereinafter referred to as "Basic Policy") concerning the measures for preventing Unauthorized Use of Research Funds at the University in order to prevent Unauthorized Use and disseminate it to all Constituent Members.

(Handling Guidelines)

Article 11 The Head Custodian shall formulate guidelines which constituent members are supposed to handle with the objective of properly administering Research Funds and disseminate the guidelines to all Constituent Members.

(Plan for Preventing Unauthorized Use of Research Funds)

Article 12 The Supervisory Custodian shall formulate plans for the prevention of Unauthorized Use whereby the University prescribes in concrete terms the matters which are to be dealt with as a priority in relation to causes of unauthorized use in accordance with the Basic Policy, as well as inform all Constituent Members and implement them.

(Reports, etc. on Implementation Status of Plan for Prevention of Unauthorized Use)

Article 13 The Supervisory Custodian shall inspect the implementation status of the plan for the prevention of unauthorized use and report regularly to the Head Custodian.

2 The Head Custodian shall order the Supervisory Custodian to make improvements when deemed necessary by the results of the report in the preceding paragraph.

3 When ordered to make improvements as provided for in the preceding paragraph, the Supervisory Custodian shall promptly take measures for improvements himself or herself or order the Promoter Responsible to do so, as well as report the details and results to the Head Custodian.

4 The Promoter Responsible shall implement the measures in the Departments and take measures to make improvements, as well as report the actual situation to the Supervisory Custodian.

(Compliance Education)

Article 14 The Supervisory Custodian shall promote education pertaining to the prevention of Unauthorized Use (hereinafter referred to as "Compliance Education") to Constituent Members.

2 The Promoter Responsible must conduct Compliance Education and make Constituent Members under the Department attend it.

3 Constituent Members must attend the Compliance Education conducted by the Promoter Responsible.

(Management of Research Funds and Execution)

Article 15 Research Funds shall be managed as an organization at the University; in addition to what is prescribed in the Rules prescribed concerning the said Research Funds, the Research Funds shall be executed appropriately in compliance with the Accounting Rules.

(Consultation Desk)

Article 16 The Head Custodian shall set up a consultation desk in the Internal Control Office, the General Affairs Department, Department for Research Management and External Cooperation, Finance Department and in departments in order to deal with consultations within and outside of the University concerning administrative procedures pertaining to Research Funds, and the plans for prevention of unauthorized use, etc.

(Reporting Desk)

Article 17 The Head Custodian shall set up a reporting desk in the Internal Control Office in order to receive reports pertaining to the unauthorized use (including suspicion of Unauthorized Use).

(Reporting, Investigations, Measures, etc. Pertaining to Unauthorized Use of Research Funds)

Article 18 Necessary matters pertaining to reporting, investigations, measures, etc. pertaining to Unauthorized Use of Research Funds shall be governed by the Regulations on Handling of Reports, etc. concerning the unauthorized use of Research Funds at the National University Corporation Kobe University (established on October 23, 2007).

(Disciplinary Actions. etc.)

Article 19 The University may take disciplinary actions, etc. against a Constituent Member who used Research Funds without authorization or is involved in the Unauthorized Use under the National University Corporation Kobe University Rules on Conditions of Employment for Staff Members (established on April 1, 2004) or the Kobe University General Rules for Students (established on April 1, 2004); or cancel the title of the member under the Kobe University Regulations on Awarding Professor Emeritus Titles (established on April 1, 2004); or canceling the degree under the Kobe University Degree Regulations (established on April 1, 2004).

2 Where the Promoter Responsible lacks the adequacy as a supervisor, the University may take disciplinary action, etc. under the National University Corporation Kobe University Rules on Conditions of Employment for Staff Members.

3 Where the Head Custodian and the Supervisory Custodian responsible lack the adequacy as a supervisor, they shall take responsibility for compensating damages occurring as a result of it.

(Public Announcement)

Article 20 The Head Custodian shall publicly announce the treatment pertaining to the University's Unauthorized Use through the use of the Internet.

(Miscellaneous Provisions)

Article 21 Necessary matters concerning the handling of Research Funds and prevention of unauthorized use in addition to what is prescribed in these Rules will be prescribed separately.

Supplementary Provisions

These Rules come into effect on October 1, 2007.

Supplementary Provisions between the original and the latest are omitted.

Supplementary Provisions (March 31, 2015)

These Rules come into effect on April 1, 2015.