

## ○Regulations Regarding Compliance Training for the Proper Utilization and Management of Public Research Funds, Etc. as Well as Written Pledge

Regulation 1191

### Purpose

**Article 1.** The purpose of these Regulations is to stipulate matters concerning compliance training and written pledge, both of which are among requirements for research institutions set forth in the Guidelines for Supervision and Auditing of Public Research Funds at Research Institutions (adopted by the Minister of Education, Culture, Sports, Sciences and Technology and revised February 1, 2021).

### Compliance Training

**Article 2.** All the faculty/staff, etc. involved in the utilization and management of public research funds, etc. granted by the central government, local governments, or their extra-governmental organizations (hereinafter, “Fund-distributing Agency(ies)”) to Hosei University (hereinafter, the “University”) shall receive compliance training which is provided by the University to ensure proper utilization and management of public research funds, etc. and as part of its efforts to prevent misconduct.

The faculty/staff, etc. required to receive compliance training shall be:

- (1) full-time instructors utilizing or applying for public research funds, etc.;
- (2) instructors other than full-time instructors as well as researchers who are utilizing or applying for public research funds, etc. under approval from the University;
- (3) full-time staff and Administrative Assistants working for the Research and Development Center and those in charge of property management of each campus;
- (4) full-time staff and Administrative Assistants involved in acceptance inspection of articles;
- (5) assistant staff for research hired by the University using public research funds, etc. (such as research assistants (RAs) and post-doctors (PDs)); and
- (6) other persons who the University determines are required to receive the training.

### Written Pledge

#### **Article 3.**

1. All the faculty/staff, etc. specified in the preceding article who are involved in the utilization and management of public research funds, etc. shall submit a written pledge with the promises stated below to the person specified in Article 3, Paragraph 1 of the Regulations on Administrative Authority Concerning Public Research Funds, etc. (hereinafter referred to as "Head Administrative Officer"). at the time of application for public research grants, etc. and at the time of receiving

compliance training or at other occasions.

The faculty/staff, etc. shall promise:

- (1) based on the full understanding that public research funds, etc. are sourced from precious national funds, to use the funds according to a research plan and in a fair and efficient manner, and not to commit any misconduct in their research;
- (2) to comply with regulations and rules for use established by the applicable Fund-distributing Agency, relevant laws and regulations, and regulations and rules for use established by the University;
- (3) to accept punishment by the University or the applicable Fund-distributing Agency or legal liability in the case where they commit misconduct that violates any relevant law or regulation, research fund execution standard, or University's regulation, or other applicable requirements; and
- (4) to ensure that research cooperators as well as students or others hired using research funds are all informed of the rules on the utilization of public research funds, etc.
- (5) to cooperate with internal audits by the University.

2. All the faculty/staff, etc. specified in Items 1 to 6 in the preceding article shall submit a written pledge.

3. Written pledges submitted to the Head Administrative Officer shall be kept until ten (10) years from the fiscal year following the fiscal year in which the signers of written pledges resign or retire.

Application for the Public Research Funds and Restriction on the Utilization of Public Research

Funds, Etc.

**Article 4.** Researchers and others specified in Article 2, Items 1 and 2 may not apply for the public research funds and utilize a public research fund, etc. granted until they submit a written pledge to the Head Administrative Officer pursuant to Article 3 hereof.

Administrative Work

**Article 5.** The Research and Development Center shall supervise all the administrative work pertaining to these Regulations.

Revision and Abolition of These Regulations

**Article 6.** These Regulations may be revised or abolished based on the Rules on Administrative Authority.

Supplementary Provisions:

1. These Regulations shall be enforced on April 1, 2015.
2. These Regulations shall be partially revised and be enforced on April 1, 2022.

3. These Regulations shall be partially revised and be enforced on April 1, 2023.