

## ○ **Regulations Regarding Authorities Pertaining to Public Research Funds, Etc.**

Regulation 1192

Partially revised February 22, 2022, April 1, 2024

### Purpose

**Article 1.** The purpose of these Regulations is to clarify the responsibility and authority of each position of employees responsible for the management of public research funds, etc. at Hosei University (hereinafter, the “University”) and their specific duties pursuant to Article 9 of the Hosei University Guidelines for Preventing Misconduct Relating to Public Research Funds, Etc. in order to achieve systematic and efficient operations.

### Definitions

**Article 2.** Terms used in these Regulations shall have the following meanings:

1. “Position(s)” shall mean a position(s) in the system of management of public research funds, etc. adopted by the University.
2. “Duty(ies)” shall mean a specific operation(s) to be performed by an employee of each position to fulfill the responsibility of his/her position.
3. “Responsibility(ies)” shall mean a responsibility(ies) assumed by an employee of each position.
4. “Authority(ies)” shall mean a function that allows an employee of each position to take the ultimate decision in making a particular act effective and order it to be done—only within the limited scope of his/her delegated powers—in the course of performing his/her duties.

### Positions

**Article 3.** The positions subject to these Regulations shall be as follows:

1. Head Administrative Officer
2. General Management Officer
3. Compliance Promotion Officer
4. Deputy Compliance Promotion Officer
5. Accounting Control Officer
6. Department/Campus Supervisor
7. Accounting Manager
8. Acceptance Inspector

### University Employees Who Are to Fill the Positions

**Article 4.** The positions subject to these Regulations shall be filled by the University employees as specified below.

1. The Head Administrative Officer shall be the President.

2. The General Management Officer shall be the Executive Trustee, Vice President, in charge of the Academic Support Bureau.
3. The Compliance Promotion Officer shall be the Executive Trustee, Vice President, in charge of the Academic Support Bureau.
4. The Deputy Compliance Promotion Officer shall be the Deans, the Deans of the Graduate School, and the Directors of the Research Center.
5. The Accounting Control Officer shall be the Head of the Research and Development Center.
6. The Department/Campus Supervisors shall be persons in managerial positions at the Research and Development Center other than the Head of the Research and Development Center.
7. The Accounting Managers shall be staff members of the Research and Development Center.
8. The Acceptance Inspectors for the Ichigaya, Tama, and Koganei campuses shall be staff members of the Research and Development Center and the representatives of the delivery/acceptance section as set forth in the University Procedures on the Handling of Grants-in-Aid for Scientific Research (KAKENHI).

#### Duties

**Article 5.** The duties of each position shall be as follows:

1. The Head Administrative Officer shall formulate and promulgate basic policies for the prevention of misconduct and take necessary measures to implement the policies. The Head Administrative Officer shall also make necessary and appropriate adjustments within the University to facilitate the General Management Officer and the Compliance Promotion Officer accomplishing their duties in the operation and management of public research funds, etc.
2. The General Management Officer shall endeavor to systematically promote misconduct prevention plans formulated by the department responsible for planning and promoting the prevention of misconduct (Research and Development Center). As the supervisor of the University's cross-departmental, anti-misconduct system, the General Management Officer shall also plan specific measures based on the basic policies and implement them (including implementation plans for misconduct prevention plans, compliance training, awareness-raising activities, etc.) across the University, while checking the progress of each measure taken and reporting it to the Head Administrative Officer.
3. The Compliance Promotion Officer shall provide compliance training and awareness-raising activities, etc. to members involved in the operation and management of public research funds, etc. to prevent misconduct and supervise status of the implementation and each member to ensure that they all receive the training.
4. The Deputy Compliance Promotion Officer shall assist the Compliance Promotion Officer, conduct compliance training and awareness-raising activities, etc. for the members of his/her

department, and manage and supervise status of the implementation and ensure their participation in such training.

5. The Accounting Control Officer shall gather information on the execution and management of all available public research funds, etc. and, together with the Department/Campus Supervisors, take necessary and appropriate measures for proper administrative work. The Accounting Control Officer shall also monitor each member involved in public research funds, etc. to ensure that they all manage and execute public research funds, etc. properly and provide guidance for improvement as necessary.

6. The Department/Campus Supervisors shall, together with the Accounting Managers, complete the necessary paperwork for the execution, management, and promotion of the public research fund(s), etc. they are in charge of.

7. The Accounting Managers shall provide consultation and support in connection with the following matters under the instructions of the Department/Campus Supervisors:

- (1) Matters concerning compliance with the rules on the use of public research funds, etc.
- (2) Matters concerning the execution of budget pertaining to public research funds, etc.
- (3) Matters concerning application paperwork for public research funds, etc. and the reporting of research results
- (4) Matters concerning the execution, management, and promotion of a public research fund(s), etc.

8. The Acceptance Inspectors shall inspect articles delivered in relation to public research funds, etc.

Authority of Head Administrative Officer

**Article 6.** The Head Administrative Officer shall be authorized to:

1. have ultimate responsibility regarding the management of public research funds, etc.; and
2. provide instructions, including those on measures for improvement, that will ensure proper management of public research funds, etc. to the General Management Officer.

Authority of General Management Officer

**Article 7.** The General Management Officer shall be authorized to:

1. assist the Head Administrative Officer and have responsibility for supervising the management of public research funds, etc. throughout the University; and
2. provide instructions on specific university-wide measures (including a plan for implementing a fraud prevention plan, compliance training, awareness-raising activities, etc.) for improvement and other purposes which are aligned with the basic policies and will ensure proper management of public research funds, etc. to the department responsible for planning and promoting the prevention of misconduct (Research and Development Center).

#### Authority of Compliance Promotion Officer

**Article 8.** The Compliance Promotion Officer shall be authorized to:

1. conduct compliance training and supervise each member to ensure that they all receive the training in accordance with university-wide plans formulated to prevent misconduct in connection with public research funds, etc.; and
2. ensure that the faculty and staff are all aware of how misconduct in connection with public research funds, etc. could have a serious impact on the University and provide instructions, including those on measures for improvement, whenever necessary.

#### Deputy Compliance Promotion Officer's duty and authority

**Article 9.** The Deputy Compliance Promotion Officer's duties and authority shall be as listed in the following paragraphs.

1. shall be responsible for managing and supervising the status of compliance training for members of his/her own department in accordance with the Fraud Prevention Plan, and for requesting those who have not yet taken the training to do so.
2. shall make all members of his/her department aware of the serious impact that misconduct related to public research Funds, etc. will have on the University, and to take measures based on the instructions of the Compliance Promotion Officer, such as improvement, etc.

#### Authority of Accounting Control Officer

**Article 10.** The Accounting Control Officer shall be authorized to:

1. assist the General Management Officer and have substantive responsibility for the execution and management of public research funds, etc. that are aligned with applicable laws and regulations and the University's regulations; and
2. provide instructions that will ensure proper administrative work for public research funds, etc. to Department/Campus Supervisors.

#### Authority of Department/Campus Supervisor

**Article 11.** The Department/Campus Supervisor shall be authorized to:

1. assist the Accounting Control Officer and have responsibility for the execution, management, and promotion of public research funds, etc.; and
2. provide instructions to Accounting Managers for the execution, management, and promotion of public research funds, etc.

#### Substitution of Authority

**Article 12.** In cases where an employee in any position becomes unable to exercise his/her authority due to a business trip, illness, accident, or for any other reason, the employee in the immediate higher position shall act as a substitute to exercise the authority, provided, however, that in the case where the Head Administrative Officer becomes unable to exercise his/her authority, the substitute shall be the General Management Officer.

#### Entrustment of Authority

**Article 13.**

1. In the case where an employee of any position has to entrust a part of his duties to someone else due to unavoidable circumstances, such as those concerning his/her job at the University, the employee must obtain approval from the employee in the immediate higher position.
2. In the case where his/her authority is entrusted pursuant to the preceding paragraph, the entruster shall still be responsible for supervising the performance of the part of duties entrusted. The trustee shall report to the entruster the progress and results of the part of duties entrusted.

#### Scope of Authority That May Be Entrusted

**Article 14.** Duties and authorities that may not be entrusted under any circumstances for each position shall be decided by the General Management Officer on a case-by-case basis.

#### Obligation of Reporting

**Article 15.** When employees of the positions perform their duties or exercise their authority, they shall report the required information on the results of such performance or exercise to the employee in the immediate higher position.

#### Administrative Work

**Article 16.** The Research and Development Center shall supervise all the administrative work pertaining to these Regulations.

#### Revision and Abolition of These Guidelines

**Article 17.** These Regulations may be revised or abolished in accordance with the Rules on Administrative Authority.

#### Supplementary Provisions:

1. These Regulations shall be enforced on April 1, 2015.
2. These Regulations shall be enforced on February 22, 2022, after partial revision.
3. These Regulations shall be enforced on April 1, 2024, after partial revision.