

# **National University Corporation Osaka University Regulations Pertaining to Public Research Funds**

## **Chapter 1: General Provisions**

(Purpose)

### **Article 1**

These Regulations specify the requirements necessary for handling Public Research Funds at Osaka University (hereinafter referred to as the “University”), to prevent misuse, ensure proper management, and contribute to appropriate and smooth administration thereof.

(Definitions)

### **Article 2**

For the purpose of these Regulations, the following terms shall have the meanings hereby assigned:

1. “Public Research Funds” shall mean all the funds handled by the University, taken from the management expenses grants, donations, subsidies, and commissions.
2. “Researcher” shall mean any of the University staff and other persons involved in the administration and management of Public Research Funds of the University.
3. “Misuse” shall mean the use of Public Research Funds for purposes other than originally intended whether deliberately or by gross negligence, or the use thereof in violation of any of the regulations of the University, laws, ordinances, and grant and distribution conditions of competitive research funds and other funds.

(Compliance with Laws and Regulations)

### **Article 3**

In handling Public Research Funds, Researchers shall comply with the National University Corporation Osaka University Accounting Regulations and other internal regulations (hereinafter referred to as “Accounting Regulations”), the Act on Regulation of Execution of Budget Pertaining to Subsidies (Act No. 179, 1955) and other applicable laws and regulations as well as grant conditions of Public Research Funds.

## **Chapter 2: Administration and Management System**

(Chief Executive Officer)

### **Article 4**

1. The University shall establish the post of Chief Executive Officer to assume overall responsibility for the administration and management of Public Research Funds, and shall appoint the President of the University to

the post.

2. The Chief Executive Officer shall develop a basic policy for preventing the misuse of Public Research Funds (hereinafter referred to as “Basic Policy”) and make the Basic Policy known to all persons concerned.
3. The Chief Executive Officer shall consult with the Trustees when developing the Basic Policy pursuant to the preceding Paragraph.
4. The Chief Executive Officer shall also take necessary measures to enable the General Operating Officer set forth in Article 5 and Department Operating Officers set forth in Article 6 to engage in appropriate administration and management of Public Research Funds.

(General Operating Officer)

#### Article 5

1. The University shall establish the post of General Operating Officer to assist the Chief Executive Officer with the substantial responsibility and authority to supervise the administration and management of Public Research Funds across the University, and shall appoint the Executive Director designated by the President to the post.
2. The General Operating Officer, who assumes the responsibility to supervise the University-wide program for preventing the misuse of Public Research Funds, shall develop and implement specific measures applicable across the entire University based on the Basic Policy as stated in Paragraph 2 of the preceding Article.
3. The General Operating Officer shall consult with the Trustees when developing the measures set forth in the preceding Paragraph.
4. The General Operating Officer must instruct the Department Operating Officer to implement the measures stipulated in Paragraph 2 as well as regularly report to the Chief Executive Officer following the confirmation of the progress of measures and its effects, and the consultation with the Trustees.
5. As part of the measures stipulated in Paragraph 2, the General Operating Officer shall develop and implement a specific plan for compliance training and compliance awareness-raising activities and instruct the Department Operating Officer to implement the plan.

(Department Operating Officers)

#### Article 6

1. The University shall establish the post of Department Operating Officer with the substantial responsibility and authority for the administration and management of Public Research Funds at the Departments and Offices of the University (including the Administration Bureau), and shall appoint the head of each Department and Office (and the Executive Director in charge of finance of the Administration Bureau) to the post.
2. Following the instructions of the General Operating Officer, each Department Operating Officer shall, at the Department or Office he or she supervises or heads:
  - (1) Implement measures for preventing the misuse of Public Research Funds as stated in Paragraph 2 of the

preceding Article, follow the progress of the measures, and report the progress to the General Operating Officer regularly;

- (2) Provide compliance training to Researchers to prevent the misuse of Public Research Funds and supervise their attendance at the training;
- (3) Regularly implement compliance awareness-raising activities regarding the misuse of Public Research Funds; and
- (4) Monitor the management and spending of Public Research Funds by Researchers and give instructions for improvement as necessary.

3. A Department Operating Officer may appoint an Assistant Department Operating Officer if necessary.

(Announcement of Title)

#### Article 7

When the officers specified in the preceding three Articles (hereinafter referred to as “Officers”) are appointed or replaced, the titles of the persons assuming the posts thereof shall be made public.

### **Chapter 3: Development of an Environment Conducive to Proper Administration and Management of Public Research Funds**

(Accounting)

#### Article 8

Unless otherwise provided for, the Accounting Regulations shall apply to the payment of contract money, business trip expenses, salaries, and honorariums from Public Research Funds.

(Consultation Service)

#### Article 9

1. The University shall offer a consultation service to respond to inquiries, both internal and external, about the administrative procedures for the handling of Public Research Funds, the rules on the use thereof and other relevant matters (hereinafter referred to as “Consultation Service”).
2. The Consultation Service shall be available at the Administration Bureau and each Department and Office of the University and the names of the persons in charge thereof and other relevant information shall be made public.

### **Chapter 4: Enhancement of Compliance Awareness of Researchers**

(Code of Conduct)

Article 10

A Code of Conduct for Researchers of the University shall be established to prevent the misuse of Public Research Funds.

(Training)

Article 11

The University shall endeavor to enhance and spread the compliance awareness of Researchers to prevent the misuse of Public Research Funds by providing compliance training and compliance awareness-raising activities.

(Responsibilities of Researchers)

Article 12

1. Researchers shall participate in the compliance training and other educational opportunities offered by the University, unless the relevant Department Operating Officer determines it unnecessary.
2. Researchers shall submit a Pledge Statement using the form specified separately to the Chief Executive Officer.
3. Researchers who have failed to fulfill the responsibilities specified in the preceding two Paragraphs shall not be eligible to apply for Public Research Funds or take part in the administration and management thereof.

## **Article 5: Investigation into Misuse of Public Research Funds and Disciplinary Action**

(Investigation Committee)

Article 13

1. In case any misuse of Public Research Funds is detected or alleged, a committee to investigate the case (hereinafter referred to as “Investigation Committee”) shall be established pursuant to the Regulations on Investigation into Misuse of Public Research Funds at National University Corporation Osaka University (hereinafter referred to as “Investigation Regulations”) to conduct necessary investigations.
2. If an individual is found guilty of misuse as a result of the investigation specified in the preceding Paragraph, he or she shall be subject to disciplinary action pursuant to the Work Regulations and Investigation Regulations of the University, including publication of his or her name.
3. If misuse of Public Research Funds is found to have resulted from the failure of any of the Officers to properly fulfill their supervisory responsibility, then the preceding Paragraph shall be applied to the Officer *mutatis mutandis*.

## **Chapter 6: Prevention of Misuse of Public Research Funds**

(Office for the Proper Usage of Research Grants)

#### Article 14

An Office for the Proper Usage of Research Grants is established to promote a plan to prevent the misuse of Public Research Funds.

(Development of Preventive Plan)

#### Article 15

The Office for the Proper Usage of Research Grants shall develop a plan to prevent the misuse of Public Research Funds and ensure that research-related activities at the University are implemented and managed based on the said plan.

2. The Office for the Proper Usage of Research Grants shall strengthen cooperation with the Auditor and provide the necessary information.

### **Chapter 7: Proper Administration and Management of Public Research Funds**

(Confirmation of Spending of Public Research Funds)

#### Article 16

1. Department Operating Officers and Assistant Department Operating Officers (hereinafter referred to collectively as “Department Operating Officers”) shall confirm the spending of Public Research Funds using a financial accounting system or other means from time to time, and if a considerable delay in spending is detected, the relevant Department Operating Officers shall contact the Researcher in charge to inquire about the reason for the delay and give instructions for improvement if necessary.
2. If a delay in spending of Public Research Funds is deemed to adversely affect the implementation of a research project, the relevant Department Operating Officers shall promptly provide the Researcher in charge with possible solutions, such as applying for carrying over the balance and returning the grant money to the granting organization.

(Identification of Financial Resources for Payment when Placing an Order)

#### Article 17

Researchers shall identify the financial resources for payment when placing an order to have a clear understanding of the spending of Public Research Funds.

(Prevention of Collusion with Supplier)

## Article 18

Placing an order or concluding a contract shall be subject to the Accounting Regulations. When a Researcher is authorized to place an order or conclude a contract, the relevant Department Operating Officers shall take appropriate measures to prevent collusion between the Researcher and the supplier as necessary.

### (Acceptance Inspection)

## Article 19

1. Acceptance inspections conducted under a contract for purchase, production, or repair of items or a service contract (hereinafter referred to as “Purchase Contract”) shall be subject to the Accounting Regulations. If a Researcher concludes a Purchase Contract in Japan and conducts an acceptance inspection under the contract by himself or herself, the Administration Department shall be required in principle to confirm compliance with the terms and conditions of the contract by the Researcher.
2. When a part-time employee is hired with Public Research Funds, the Administration Department shall confirm the attendance of the employee at work on a daily basis. If daily confirmation of attendance is difficult, the Administration Department may confirm on a regular basis.

### (Business Trip)

## Article 20

1. Business trip shall mean a trip made at the order or request of the Dean or Director for the purpose of the University and with prior approval of the budget manager or the person authorized by the budget manager to act on his or her behalf.
2. After completion of a business trip, a business trip report, documents specified in the National University Corporation Osaka University Travel Expenses Regulations, and other evidence for the trip shall be submitted.

### (Disciplinary Action to a Supplier Involved in Improper Dealing)

## Article 21

Any supplier involved in improper dealing shall be subject to disciplinary action, including suspension of transactions with the University, according to the disciplinary standards specified in the Purchase Contract of the University.

## **Article 8: Measures to Facilitate Reporting of Misuse of Public Research Funds**

### (Compliance Hotline Service)

## Article 22

1. The University shall provide a compliance hotline service to accept reports and information on the misuse of Public Research Funds (including alleged misuse thereof; the same shall apply to Article 23), separately from the Consultation Service, in principle (hereinafter referred to as “Compliance Hotline Service”).
2. The Compliance Hotline Service shall be available at the Administration Bureau and, if deemed necessary, at any Department and Office.
3. The names of the persons in charge of the Compliance Hotline Service and other relevant information shall be made public.

(Report on Misuse of Public Research Funds)

#### Article 23

When a report or information on the misuse of Public Research Funds is sent via the Compliance Hotline Service, the person in charge shall notify the General Operating Officer, and the General Operating Officer shall notify the Chief Executive Officer thereof without delay.

(Measurement of Understanding of Rules on Use of Public Research Funds)

#### Article 24

To prevent the misuse of Public Research Funds, the Office for the Proper Usage of Research Grants shall conduct a survey to measure the level of understanding of Researchers of the rules on the use of Public Research Funds, and, if any problem is found as a result of the survey, the Office shall take necessary measures.

(Measures against Misuse of Public Research Funds)

#### Article 25

The Office for the Proper Usage of Research Grants shall publish the progress of measures against the misuse of Public Research Funds on the official website of the University, and promote the measures steadily and continuously.

## **Chapter 9: Monitoring**

(Audit)

#### Article 26

To ensure proper management of Public Research Funds, fair and accurate audits shall be conducted pursuant to the National University Corporation Osaka University Internal Audit Regulations (hereinafter referred to as “Internal Audit Regulations”).

(Internal Audit and the Office for the Proper Usage of Research Grants)

Article 27

The Audit Office shall conduct operational audits and accounting audits pursuant to the Internal Audit Regulations. The Audit Office shall also cooperate with the Auditor and the Office for the Proper Usage of Research Grants to examine ways of preventing the misuse of Public Research Funds and shall conduct audits focusing on the factors conducive to misuse thereof.

## **Chapter 10: Miscellaneous Provisions**

(Application of Specific Rules)

Article 28

Matters concerning the handling of Public Research Funds not provided for herein shall be set forth separately.

Supplementary Provision

These Regulations shall come into effect on November 1, 2007.

Supplementary Provision

These Regulations as amended shall come into effect on April 1, 2008.

Supplementary Provision

These Regulations as amended shall come into effect on November 18, 2008, except the amendment of Paragraph 1 of Article 2 from “determination of specific grants under Paragraphs 6 and 7 of Article 3 of the Regulations on Handling of Grants-in-aid for Scientific Research” to “determination of specific grants under Paragraph 2 of Article 4 of the Regulations on Handling of Grants-in-aid for Scientific Research,” which shall come into effect on May 19, 2008.

Supplementary Provision

These Regulations as amended shall come into effect on April 1, 2009.

Supplementary Provision

These Regulations as amended shall come into effect on April 1, 2012.

Supplementary Provision



These Regulations as amended shall come into effect on March 19, 2013.

Supplementary Provision

These Regulations as amended shall come into effect on April 1, 2014.

Supplementary Provision

These Regulations as amended shall come into effect on March 17, 2015.

Supplementary Provision

These Regulations as amended shall come into effect on April 1, 2016.

Supplementary Provision

These Regulations as amended shall come into effect on August 26, 2019.

Supplementary Provision

These Regulations as amended shall come into effect on May 19, 2021.