

Implementation Plan of Compliance Training and Compliance Awareness-raising  
Activities Pertaining to Public Research Funds

19 May 2021

As determined by the General Operating Officer

Osaka University (hereinafter referred to as the "University") shall develop the detailed plan for compliance training and compliance awareness-raising activities as follows pursuant to Paragraph 5 of Article 5 of the National University Corporation Osaka University Regulations Pertaining to Public Research Funds (hereinafter referred as "Regulations") and implement compliance training and compliance awareness-raising activities based on the said plan.

Category	Compliance Training	Compliance Awareness-raising Activities
I. Persons Subject to Compliance Training	Any University staff and other persons involved in the administration and management of Public Research Funds of the University (see attachment)	All University Members
II. Objective	To deepen their understanding of the usage rules of competitive funds they handle, responsibilities pertaining to use of the funds, and what conduct could constitute a misuse	Enhance and spread awareness to form an organization that does not cause misuse

Category		Compliance Training	Compliance Awareness-raising Activities
III. Implementation Activities, Methods, and Frequency	General Operating Officer	1) Implement training using explanatory sessions and e-learning etc. for Department Operating Officers (one time or more every year, as early as possible)  2) Implement the Quiz on Handling Public Research Funds using e-learning etc.* one time per year	1) Implement compliance-raising activities using the University's public relations material (at least three times per year)  2) Using a mailing list or other methods for compliance-raising activities (at least one time per year)
	Department Operating Officers	1) Implement training upon employment using the Handbook on Use of Public Research Funds (includes the online version), published by the General Operating Officer  2) Implement training using explanatory sessions and e-learning etc.* (one time or more every year, as early as possible)	1) Implement compliance-raising activities using the University's public relations material published by the General Operating Officer (at least three times per year)  2) Implement compliance-raising activities using posters distributed by the General Operating Officer (at any given time)

\* It is permissible for Department Operating Officers to determine that Research Assistant (RAs) and persons who are not employed by Osaka University, who do not make decisions on the use of Public Research Funds do not need to take a quiz or participate in training, pursuant to the proviso of Paragraph 1, Article 12 of the Regulations.

## Persons Involved in the Administration and Management of Public Research Funds

Category	Member	Members Listed on the Left who are Subject to Compliance Training
Osaka University Staff (Includes Part-Time Employees)	<p><b>Staff who engage in education and research</b></p> <p>Academic Staff, Specially Appointed Academic Staff, Researchers, Specially Appointed Researchers and Residents</p>	<p>All staff from the left column involved in education and research, excluding those who only engage in medical work</p>
	<p><b>Staff who engage in administrative work</b></p> <p>Administrative Staff, Specially Appointed Administrative Employees, Technical Staff, Specially Appointed Technical Staff, Educational Support Staff, Assistant Administrative Staff, Assistant Technical Staff, Assistant Educational Supporting Staff, Assistant Technicians, and Commissioned Staff</p>	<p>1. Those who make decisions on the use of Public Research Funds or, 2. Those who purchase items*1, make payment of travel expenses and/or honorariums pertaining to Public Research Funds*2, and staff who manage working hours of Osaka University Staff, TAs (TFs), RAs, and part-time employees etc*3</p>
	<p><b>Staff who engage in medical work</b></p> <p>Special Commissioned Technical Staff (Medical), Special Commissioned Technical Staff (Nursing), Assistant Technical Staff (Medical), Assistant Technical Staff (Nursing), Assistant Technicians, and Commissioned Staff.</p>	<p>Staff who engage in medical work in the left column are not eligible because they do not carry out education and research activities within their work tasks. However, if education and research activities are conducted separately from medical activities, they will be covered in the same way as the staff who engage in education and research in the above column.</p>

Those Other than Osaka University Staff	Research Assistants (RA) Note 1	All members in the left column who perform research support tasks necessary for research activities
	Professors Emeriti, JSPS Postdoctoral Fellows, Visiting Academic Staff, Visiting Fellows, Visiting Researchers, etc.	1. Those who make decisions on the use of Public Research Funds or, 2. Those who purchase items*1, make payment of travel expenses and/or honorariums pertaining to Public Research Funds*2, and staff who manage working hours of Osaka University Staff, TAs (TFs), RAs, and part-time employees etc*3

Note 1: Part-time employees, TAs (TFs), Tutors, etc. who perform supporting tasks in various activities of the University do not fall under the category of persons involved in the operation and management of Public Research Funds.

\*1 Tasks relating to purchasing items refer to determining contract signatories, delivery inspection and confirmation of delivery of item or completion of service, and implementation of payment procedures.

\*2 Tasks relating to the payment of travel expenses and honorariums refer to submitting applications for travel, confirming the completion of travel, submitting applications for honorariums, and confirming the implementation of lectures.

\*3 Tasks relating to management of working hours refer to management, reports, and submission of working hours.