# 2025
# Research Funding Handbook

NANZAN
UNIVERSITY

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# I. Guide to Research Funding

# Research Subsidies and Funding According to Administrative Offices

**Faculty etc. Offices**
Individual Research Subsidy

**Research Promotion Office, Educational and Research Administrative Division**
(ext. 1180-1183,1185-1187; 2Fl., Admin Bldg)
Pache Research Subsidy I-A (Specified Research Support: Special & General Categories)
Pache Research Subsidy I-B (Specified Books and Materials Support): Administered via faculty etc. offices
Pache Research Subsidy II-A (Faculty-Allocated Research Support) (control over the budget has been transferred to the faculty etc. offices)
Pache Research Subsidy II-B (Overseas Travel Support)
Nanzan University Monograph Series Publication Subsidy
Conference Events Fund
Grants-in-Aid for Scientific Research (Ministry of Education (MEXT), Japan Society for the Promotion of Science (JSPS))
Research subsidies for private universities (Ministry of Education (MEXT)) [Research Equipment]
Academic Research Promotion Fund (The Promotion and Mutual Aid Corporation for Private Schools of Japan)
Foundation Research Support – External Funding
Foundation Research Support
External Funding

**Library Administrative Office, Educational and Research Administrative Division**
(ext. 1348,1353; B1F., Library),
Faculty-Allocated Library Materials Fund (Individual Library Materials Acquisition Fund,etc.)

**Personnel Office, Management Administrative Department** (ext. 3675, 3680; 2Fl., L Bldg),
Research Trip Fund: Administered via faculty etc. offices
Short-Term Overseas Research Trip Fund
Cost of a break from research
Overseas Study Fund

**Office of the Center for Information and Communication Technology, Educational and Research Administrative Division**
(ext. 3745; 3Fl., S Bldg),
Subsidies to improve education and research equipment/facilities at private undergraduate and graduate schools （Ministry of Education（MEXT））［Research Equipment],[Educational Equipment],Projects to Promote the Use of ICT]
Research subsidies for private universities (Ministry of Education(MEXT)) [Educational Infrastructure]

**Faculty etc.···Faculty, Nanzan School of Law, Research institute, Foreign Language Education Center, Center for Teacher Education, Center for Information and Communication Technology, Physical Education Center, Center for International Affairs, Health Center**

## 《Faculty Research Funds》

### 【Faculty Research Funds】

1. Faculty research funds are managed collectively by the faculties (including research institutes, the Foreign Language Education Center, the Center for Teacher Education, the Center for Information and Communication Technology, the Physical Education Center, Center for International Affairs and Health Center), with the amount to be allocated decided at the discretion of the faculty, and the total of the cost categories as outlined below.
   (1) Amount for research funding for individuals (number of full-time members of the teaching staff involved multiplied by 350,000 yen [Please note that this does not apply to Foreign Language Education Center language instructors, Center for Japanese Studies language instructors, and contract instructors (Externally Funded Collaborative Researchers).])
   (2) Faculty allocation amount for the Pache Research Subsidy II-A
   (Budget control will be transferred from the Research Promotion Office to the faculties (including the Anthropological Institute, the Nanzan Institute for Religion and Culture, the Institute for Social Ethics, the Foreign Language Education Center, the Center for Teacher Education, the Center for Information and Communication Technology, the Physical Education Center, Center for International Affairs and Health Center) at the start of the academic year.)
   (3) Amount transferred from faculty operating funds
   (4) Amount carried over from the previous year's faculty research fund.
   (5) Amount for research trips (number of teaching staff involved multiplied by 150,000 yen)

2. The faculties will determine the method for allocation and amount of individual allocations (individual research funding and research trip funding) and faculty pool research funds by the end of April, and report these to the Personnel Office and the Finance Office. The final amount to be allocated is decided at the time of the supplementary budget in November, so until then, changes in the amount of any type of research funding are possible. However, amounts transferred from the faculty operating funds cannot be changed from the amount decided for allocation.

3. Budgetary management of individual research funds and research trip funds is to be carried out by the individual. Until a supplementary budget is compiled, no limit is placed upon amounts transferable between individual research funds and research trip funds if the amount is within that for individual allocations of research funding. After the supplementary budget is compiled, in which the final amount for individual research fund allocations is determined, if the amount due to be allocated exceeds the amount available for individual allocations, allocations will be cut off at that point. This will be carried out not for the total amount for individual allocations, but for the allocated amount for each of individual research funds and research trip funds.

4. The scope of the use of individual research funds and research trip funds shall be as prescribed in the Research Funding Handbook.

# The following amounts will be allocated if an instructor is appointed part way through the academic year:
Appointed between April and December: A total of 500,000 yen for individual research funds and research trip funds.
Appointed between January and March: A total of 170,000 yen for individual research funds and research trip funds.
Furthermore, for instructors appointed between January and March, in the case that there is an amount of unused individual research funds and research trip funds in the year of their appointment, that amount can be added on to the total available to that person as individual research funds and research trip funds to that person in the following academic year.

### 【Outline of the Individual Research Subsidy】

The subsidy covers miscellaneous expenses directly required for the individual research activities within the University of full-time members of faculty and permanent fellows. Please note that associate instructors and full-time foreign-language instructors are not eligible to receive this subsidy.

## ◇Individual Research Subsidy

### Categories of funding

① Research books (研究図書 *kenkyū-tosho*): Any single volume costing 200,000 yen or more.

② Research equipment (教育研究用機器備品 *kyōiku-kenkyū-yō kiki-bihin*): Any single item or set of equipment costing 200,000 yen or more and with a life of more than one year.

③ Accessory equipment (用品 *yōhin*): Any single item or set of equipment costing between 50,000 and 200,000 yen and with a life of more than one year.

④ Research support (研究補助 *kenkyū-hojo*)

※For details, please refer to the next page [Guide to the Individual Research Subsidy].

### Funds available

An amount for each individual determined according to the funding allocation policy of the faculty and within the total amount of research funding allocated to that faculty.

### Application period

From April 1 to March 15 of the following calendar year. (There will be cases in which Faculty etc. set their own deadline for applications.)

### Means of application

- Refer to the Guide to the Individual Research Subsidy section below.
- Fill in the prescribed form as required and submit to the faculty etc. offices.

### Means of reimbursement

- Any sum above the allocated funds is to be borne by the individual.
- Funds paid in advance for goods are reimbursed via bank transfer. (Faculty etc. offices will provide details of the date of the bank transfer.)

### Special remarks

- Until a supplementary budget is compiled, no limit is placed upon amounts transferable between individual research funds and research trip funds if the amount is within that for individual allocations of research funding.
- When any item included in sections 1, 2 and 3 above of things eligible to be subsidized is to be disposed of, the appropriate procedure must be carried out to remove them from the records.
- If you wish to use an Individual Research Subsidy in conjunction with external funding (commissioned research, scholarships, collaborative research), you must first consult your faculty etc. offices.
- Note that those taking absence of leave are not entitled to apply. However, during maternity leave, childcare leave, and nursing care leave, only books and items that require continuous payment (annual conference membership fees, database usage fees, etc.) may be applied for.

## 【Guide to the Individual Research Subsidy】

### Provisions of the Individual Research Subsidy

1. The Individual Research Subsidy covers the various expenses that are directly associated with the individual research activities of members of faculty and permanent fellows. The amount allocated for individual researchers is allocated according to faculty policy within the total research funds allocated to that faculty (hereafter referred to as "faculty research funds").
2. With regard to faculty "pool funds," in addition to the individual allocation, it is also possible for each faculty to allot pool funds to cover various expenses required in the research activities of the faculty as long as the amount is within the total allocated as its faculty research funds. If such faculty pool funds still remain at the end of March, they are carried over to the next financial year as faculty research funds rather than its pool funds. Each faculty will then determine how to best allocate its faculty research funds in the following financial year.
3. Carrying over research funding to the next year: If research funding allocated to the Individual Research Subsidy or Research Trip Fund remains unused at the end of March, this funding is not carried over in the name of the individual, but instead as faculty research funds of the faculty to which the researcher belongs. Each faculty will then determine how to best allocate its faculty research funds in the following financial

year. Furthermore, this figure carried over will have an upper limit of 150,000 yen multiplied by the number of teaching staff involved plus 500,000 yen. In such cases, balance carried over and members of teaching staff who finish their tenure during the academic year in question are not counted in the calculation.

### Categories and Scope of the Individual Research Subsidy

The categories for the Individual Research Subsidy and the scope of its application are as set out below. Materials used in class cannot be applied for.
In the case of costs incurred beyond subsidy limits, the use of research subsidies will only be recognized when the individual in question has made the payment him or herself. (It is not possible to apply for funding to cover teaching materials etc. for use in class.)

**1 Research books** (研究図書 *kenkyū-tosho*)
Any single volume costing 200,000 yen or more. Research subsidies cannot be used to cover costs incurred beyond subsidy limits.(Expenditures cannot exceed the individual research grant limit.)

**2 Research equipment** (教育研究用機器備品 *kyōiku-kenkyū-yō kiki-bihin*)
Any single item or set of equipment costing 200,000 yen or more and with a life of more than one year. Research subsidies cannot be used to cover costs incurred beyond subsidy limits.

**3 Accessory equipment** (用品 *yōhin*)
Any single item or set of equipment costing between 50,000 yen and 200,000 yen and with a life of more than one year. (Expenditures cannot exceed the individual research grant limit.)

**4 Research support** (研究補助 *kenkyū-hojo*)
(a) Books costing less than 200,000 yen per volume and other consumable printed materials (serials and journals). (You can purchase up to three books of the same title.)
(b) Photographs, computer software(Includes use under subscription contracts), audio-visual materials and other materials such as those used for language teaching.
(c) Photocopying (costs for copying, copy-cards), stationery and other consumables.
(d) Postage stamp costs, communication costs including courier service fees, telecommunications and data transfer costs including fax charges, data communication charges for overseas business trips.
(e) Maintenance and repair costs for computing equipment.
(f) Annual fees for academic societies and research conferences, attendance fees, attendance at social gatherings (costs related to Nanzan learned societies do not apply here).
(g) Paper Submission Fee
(h) Access fees for use of databases, etc.
(i) Printing costs directly related to research activities (including offprints), cost of printing business cards used for research purposes.
(j) Honoraria payments (requires tax to be deducted at the source)
(k) Expenses related to services commissioned (translation or proofreading of academic papers or reports written by the instructor him or herself, basic data-entry, or digitalization of research materials).
# Tax must be deducted at the source in the case that translation or proofreading services are commissioned. Getting a foreign company to provide the service may also qualify for deduction at source, so before you make the payment to the company in question please seek clarification regarding this from the faculty office etc.
(l) furniture to be used in your research room (desks, chairs, shelving, cabinets etc.)
# limited to the situation in which there is not enough furniture in your research room and that this will negatively impact on your research. However this does not include reception furniture.
lf, basic data-entry, or digitalization of research materials). In principle, the amount should be less than 50,000 yen.

Please note that the following are beyond the scope of the subsidy:
A. Travel, accommodation, and gasoline expenses incurred when participating in conferences, meetings, etc., or gathering materials.
B. Payment made for part-time work carried out on one’s behalf, or gifts offered in lieu thereof(gift money (for a souvenir)).
C. Food and drink costs for meetings, or costs incurred when entertaining students.

D..Costs incurred to make personal seals. .
E . In the case of purchases made using points accrued, payment will only be made for actual costs borne beyond the points used.
F. Expenditure incurred in relation to classes or education.

## Procedures for Using the Individual Research Subsidy

**1** ***Purchasing procedure****: The reimbursement and bank transfer schemes*

Payment for purchases using the Individual Research Subsidy may be made by means of either the reimbursement (立替払い *tatekae-barai*) or the bank transfer (振込払い *furikomi-barai*) schemes, except for overseas purchases and for goods where advance payment is required, in which case only the reimbursement scheme may apply.

・Points to note when paying oneself to start with
With regard to [j. Commission fees] if translation or proofreading services are requested of foreign companies, withholding tax may be levied. Please contact the Faculty Office etc. before paying the company to whom you have requested services.

● *Notes concerning credit card purchases in the case of reimbursement scheme*

In principle, purchases are to be made in cash at the time of the transaction. Where it cannot be avoided, however, payment may be made by credit card, debit card, or bank check, in which case the following conditions apply:

①The card or check used must be in the name of the individual member of staff.

②If the company where you made the purchase is a qualified invoice issuer, please get a qualified invoice in keeping with the invoice system, or a receipt, and attach that. For information on the invoice system, refer to the Finance Office Invoice Processing Manual, which is available on PORTA.

③If a receipt is issued from a company that is not a qualified invoice issuer, please attach that. However, please note that documents that are not clearly marked as a receipt, or have no name of the person who made the purchase, or the date or proviso details cannot be accepted. If a receipt is not issued, please attach the credit card company's card statement, or a copy of such.

④If a receipt is issued, the date on which the credit card was used must be within the same financial year. If a receipt is not issued, and a credit card company's card statement is attached, the dates on which the credit card was used and then the payment was actioned must be within the same financial year.

In relation to the above, where a bill of receipt is not made out in the name of "Nanzan University", an execution by proxy form (代理執行届 *dairi-shikkō todoke*) (Optional Form) is to be submitted. This must also be submitted in the case of purchases made overseas and where billing statements issued by card companies are provided as proof of purchase.

**2** ***Procedures for competitive estimates and acquisition consent applications***

In the following cases, it is necessary to either solicit competitive estimates or file an application for acquisition consent (物品調達協議申請書 *buppin-chōtatsu kyōgi-shinseisho*) **prior to** making the purchase.

(1) **Competitive estimates** (競争見積り *kyōsō-mitsumori*)

Competitive estimates are required when applying for an item or a set of items costing more than 200,000 yen.

(2) **Submission of acquisition consent applications and approval**

The use of Individual Research Subsidy funds is subject to the approval of any application for consent to make an acquisition for an item or a set of items costing more than 300,000 yen. Applications for such consent must be submitted to the faculty etc. offices in advance on the prescribed.

**3** ***Procedures for the reimbursement and bank transfer schemes***

(1) **Reimbursement scheme**

After making the purchase, please take all relevant documentation (see 4 Documentation) to the faculty etc. offices and apply for reimbursement of such funds.

(2) **Bank transfer scheme**

Please apply to the faculty etc. offices to request for purchases to be made by bank transfer, bringing with you any necessary documentation (see 4 Documentation) and other details relevant to the goods ordered.

**4** ***Documentation***

All receipts and other forms of documentary proof of purchase must bear not only the name of the individual concerned, but also the name of the University (南山大学 or Nanzan University). In addition, the date, the vendor's particulars, and other such important information must be included.

Documentation required for purchases made via the reimbursement and bank transfer schemes respectively shall be in accordance with the following.

(1) **Documentation required in the case of the reimbursement scheme**

**a. Bill of receipt** (領収書 *ryōshūsho*)

- Receipts must accompany all applications for reimbursement and must be dated within the academic year. Also note that receipts for overseas purchases must bear the word "paid" or similar in order to be accepted.
- If the purchaser is a qualified invoicing company, obtain a qualified invoice or receipt in accordance with the invoice system. If this is not the case, Under the provisions of the receipt, details pertaining to the purchase (specific product names, etc.) must be clearly indicated.

**b. Delivery invoice** (納品書 *nōhinsho*)

- A delivery invoice must be obtained, especially in the case of printed materials. In the event of particular difficulty in obtaining a delivery invoice, the receipt must bear a detailed account of all items purchased and must be dated within the academic year in question.
- **Individual research subsidies shall not apply to purchases where the delivery invoice is made out to the home address of the individual rather than to the University address.**

(2) **Documentation required in the case of the bank transfer scheme**

**a. Invoice** (請求書 *seikyūsho*)

- An invoice must accompany all applications. Note that the date of payment is not able to be determined by the individual without negotiation with Finance Office.
- If the purchaser is a qualified invoicing company, obtain a qualified invoice or receipt in accordance with the invoice system.

**b. Delivery invoice** (納品書 *nōhinsho*)

- A delivery invoice must be obtained for all purchases of material goods and must be dated within the academic year.
- **Individual research subsidies shall not apply to purchases where the delivery invoice is made out to the home address of the individual rather than to the University address.**

**c. Estimate** (見積書 *mitsumorisho*)

- In principle, estimates are required for all applications. Further, competitive estimates are required where the cost of an item or a set of items exceeds 200,000 yen.

**d. Agreement of sale or Contract** (請書・契約書 *ukesho / keiyakusho*)

- For administrative purposes, it is essential with any item or set of items costing more than 300,000 yen that the contractor's name is accompanied on the agreement or contract by details of the member of faculty's status within the University: e.g., "Nanzan University, Faculty of X, Associate Professor, R. Smith". Procedures pertaining to agreements of sale and contracts are handled via the faculty office.

**5** ***Other***

(1) For pre-payment, documentation confirming that the delivery of materials will occur within the current academic year must accompany the invoice. It is possible to pay the fees involved in participating in academic conferences and research meetings in the previous year, but the application should then be submitted in the fiscal year in question.

(2) Dealing with costs that span several years

With regard to costs incurred for things that extend beyond one year such as the repair and maintenance of computers, annual subscription fees for journals, lump-sum payments for participation in academic conferences, they are to be dealt with from individual research subsidies for each year for the year in question. However, with repair and maintenance costs of computers etc, only in the case when these have been paid as one lump-sum at the time of purchase of the computer etc will that total amount be able to be covered by individual research subsidies. For costs incurred within one year, they can be dealt with by an individual research subsidy of the year when paid even if they extend into the following fiscal year.

＜*Method of application*＞

- In the year of payment: Apply with originals of the documentary proof (delivery invoice and receipt etc)
- Following year and beyond: Apply with copies of the documentary proof from the year in question (delivery invoice and receipt etc). The applicant should keep the copies)

(3) Items for which it is difficult to judge if they qualify for purchase

For items that it is not clear whether or not they will fall within the bounds of the use of individual research funds, attach a statement in the name of the Dean of the Faculty etc. clarifying that the item in question is directly required to carry out the research activities and submit that from the Faculty Office to the in the Accounting Section of the Financial Affairs Division. Whether or not it can be purchased will be considered by the Education Planning & Research Promotion Office and the Finance Office with the final decision being made by the Vice President for Administration

**6** ***Application period***

All applications are to be made to the faculty office by March 15. (There will be cases in which Faculty etc. set their own deadline for applications.)

## Disbursement of the Individual Research Subsidies

**1** ***Disbursement of subsidies in the case of the reimbursement scheme***

The bank transfer will be actioned as deemed appropriate once the application has been checked. (Faculty etc. offices will provide details of the date of the bank transfer.)

**2** ***Disbursement of subsidies in the case of the bank transfer scheme***

Payment for goods or services received is made directly from research subsidy funds to the parties concerned via Finance Office. However, in the case of applications for items that cost more than the sum remaining in the individual's research subsidy allowance, it is necessary to request separate invoices, with the amount remaining in the allowance to be disbursed in the name of the University, and the remainder above the cut-off point to be disbursed in the name of the individual member of faculty.

**3** ***Support beyond subsidy limits***

Support via Individual Research Subsidy funds is limited to the budget allocated to each individual member of faculty. Hence, where spending exceeds the individual's research subsidy allowance, the individual is expected to bear those costs that exceed the subsidy allocation.

**4** ***Foreign currency exchange rates***

The rate applicable on the date of payment shall apply.

## Responsibilities and Duties Concerning the Administration of Items Purchased

Ownership of items purchased shall remain with the University in accordance with the following, and items shall, in principle, be kept in the individual member of faculty's office at the University. Where items are, for unavoidable reasons, removed from one's office and kept elsewhere, it is necessary when there are Tax Office inspections and other such inventory checks that such items are returned to the office.

**a Research books** (研究図書 *kenkyū-tosho*)

After the book (of a value of at least 200,000 yen) has been registered at the Library Administrative Office, the book is then loaned out to the individual.

**b Consumable Printed Materials** (消耗図書 *shōmō-tosho*)

For books costing less than 200,000 yen per volume and other consumable printed materials (serials and journals) original delivery invoices are to be attached to applications.

**c Research equipment** (教育研究用機器備品 *kyōiku-kenkyū-yō kiki-bihin*)

Once items or sets of equipment costing 200,000 yen or more have been registered within one or two months of purchase by the Facilities Management Office (施設課 *Shisetsu-ka*), an equipment sticker is attached to the equipment in an easily visible spot and the equipment is loaned out to the individual. When the equipment is no longer needed, the individual member of faculty may apply through the faculty etc. offices to have the equipment removed from the registration records. However, when that member of faculty finishes his or her job at Nanzan, he or she should consult the faculty etc. offices before commencing the various procedures. Please refer to the information given below with regard to what to do with computers or peripheral equipment in such a situation.

**d Accessory equipment** (用品 *yōhin*)

After the single items or sets of equipment costing between 50,000 and 200,000 yen have been registered by the faculty etc. offices within one or two months of purchase, an equipment sticker acquired from the Finance Office is attached to the equipment in an easily visible spot and the equipment is loaned out to the individual. When the equipment is no longer needed, the individual member of faculty may apply through the faculty office to have the equipment removed from the registration records. However, when that member of faculty finishes his or her job at Nanzan, he or she should consult the faculty etc. offices before commencing the various procedures. Please refer to the information given below with regard to what to do with computers or peripheral equipment in such a situation.

## Supplies and equipment purchased with research funds
## – Assignment to staff finishing work at Nanzan–

In the case that individual members of staff who are to finish working at Nanzan wish to keep the equipment mentioned above, this is permitted if the following conditions are met. However, computers used by staff whose work is terminated by their death, will be handled according to the
"Guidelines for the handling of computers upon on the death of a staff member."

Separate arrangements are made with regard to goods and supplies purchased Grant-in-Aid for Scientific Research.

(1) For registered equipment, that depreciation processes were completed at the end of the previous year prior to the cessation of employment.

(2) For registered accessory equipment, that it was acquired before the year prior to the cessation of employment.

NB: Computers and peripheral equipment will be assigned once all data has been deleted. It is therefore the responsibility of individual staff members who are to finish working at Nanzan to store (back-up) their own data.

Supplementary provision: This method of assignment has been applied since 1 April 2009.
Supplementary provision: These amendments to the guidelines are to be applied from 1 April 2024

## [Regulations governing the use of research funds to purchase equipment known as smart devices or smart tablets]

Equipment known as smart devices or tablet devices are multi-functional and versatile, and therefore it is difficult to prove that they are only being used for research purposes outside of the research office and that their functions are only being used directly for research. However, these days an increasing number of people want to use them to carry out their research, and because they are recognized as being effective tools, we will permit their purchase and use under the conditions given below. Furthermore, this will be determined on a case-by-case basis when the equipment to be purchased is the direct object of the research. For procedures for individual determination, see p.7 "5 Other (3)".

1. Equipment that will not be covered by Individual Research Subsidy
   1) Mobile phones and smart phones.
   2) Telephone calls and contract-related fees etc. incurred on the premise of ongoing communications costs.
2. Equipment that will not be covered by the Pache Research Subsidies
   1) Mobile phones and smart phones.
   2) Telephone call and data transfer costs and contract-related fees etc. incurred on the premise of ongoing communications costs.
3. Equipment that will not be covered by Grants-in-Aid for Scientific Research
   1) Mobile phones and smart phones.
   2) Telephone call and data transfer costs and contract-related fees etc. incurred on the premise of ongoing communications costs.
4. Clarify the following if you are to purchase equipment for which it is difficult to prove that it is only being used for research.
   1) The purpose of its use.
   2) The method, location and frequency of use. (The University may carry out random checks on the equipment.)
   3) The necessity and effectiveness of the equipment in question.
      a. Clarify why using alternative equipment would impact negatively on your research.
      b. In the case of multifunctional equipment, clarify why the use of single-function equipment would impact negatively on your research.
      c. In the case of multifunctional equipment, clarify the function that you require for your research.
   4) Previous instances of appropriate use.

16 February 2017
Deliberation Committee approved

## Purchase procedure for Apple goods at the Nanzan Apple Store

From March 2022, Apple handles Nanzan University as a corporate entity, and the website the Nanzan Apple Store has been set up specifically for Nanzan University.
From now, when purchasing Apple goods, we you are able to use the Nanzan Apple Store, but please first check the points outlined below and the purchase procedure, and also follow the appropriate accounting processes.

### 1 *Points to note when using the Nanzan Apple Store*

To use the Nanzan Apple Store, please create <u>your own personal account</u>.
※It is not possible to use your current Apple ID for the Nanzan Apple Store.
※Please note that the Nanzan Apple Store and the Apple Store or Education, which is open to the public, are separate sites.

| ［How to Create your own personal account］<br>Send an email to Apple's corporate contact and ask for an invitation to visit the site.<br>Contact: Koike（Account Manager, Japan Apple Retail for Business）<br>masamichi.koike@apple.com<br>In charge as of January 1, 2024 |
|---|

With the Nanzan Apple Store system, people who have created an account will be able to look back on and adjust orders, including the ordering records of the past 8 months of other account holders, Please take care not to mistakenly alter the information of other people who are registered.
※Credit card are not shared on this site.（Confirmed by Apple Inc.）

The Nanzan Apple Store cannot be used with Internet Explorer.

### 2 *Procedures to follow when purchasing Apple Goods*

I) Purchases made using University budget (Individual Research Subsidies etc.)

①（Individual Research Subsidy）

1.[Each instructor]: Create and print off a quote from the Nanzan Apple Store and submit it to the person in charge in the Faculty Office etc.
2.[The Faculty Office etc.]: Submit the estimate and the [JCB Card user application form (University budget use)] to Finance Office.
3. [Finance Office]: Check the estimate and the JCB Card user application form (University budget use) and communicate the credit card details through PORTA to the faculty or other relevant office.
4. [The Faculty Office etc.]: Place an order and enter credit card information, etc. at the “Nanzan Apple Store” based on credit card information.
5. [Each instructor]: Print off the delivery slip and invoice after you receive them by email.
6. [Each instructor]: When the goods arrive, take the delivery slip, invoice and the goods themselves to the faculty office (or the equivalent), have them formally accepted, before carrying out the application for research subsidy funding.

②（Pache Research Subsidy）

1.[Each instructor]: Create and print off a quote from the Nanzan Apple Store and submit it to the person in charge in Research Promotion Office.
2.[Research Promotion Office]: Review the estimate and request a refund for the purchase amount from the faculty member. Submit the estimate and the [JCB Card user application form (University budget use)] to Finance Office.
3. [Each instructor]: Refund the purchase amount to the designated account.
4. [Finance Office]: Check the estimate and the JCB Card user application form (University budget use) and communicate the credit card details through PORTA to the Research Promotion Office.
5. [Research Promotion Office]: Place an order and enter credit card information, etc. at the

"Nanzan Apple Store" based on credit card information.
6. [Each instructor]: Print off the delivery slip and invoice after you receive them by email.
7. [Each instructor]: When the goods arrive, submit a "delivery note" and "invoice" to the Research Promotion Division.

II) Purchases made using Grants-in-Aid for Scientific Research

1.[Each instructor]:Create and print off a quote from the Nanzan Apple Store and submit that and the [Request form for orders using public research funds] to the person in charge in the office of the section or department making the order.

2. [The Faculty Office etc.]: After approval of the [Request form for orders using public research funds] and the estimate by the dean, etc., submit those documents and the [JCB Card user application form (Grantsin-Aid for Scientific Research Use)] to the Research Promotion Division by e-mail (PDF) together with those documents.

3.[Research Promotion Office]: Check the [Request form for orders using public research funds],the estimate and the [JCB Card user application form (Grantsin-Aid for Scientific Research Use)] and communicate the credit card details through PORTA to the faculty or other relevant office.

4. [The Faculty Office etc.]: Place an order and enter credit card information, etc. at the Nanzan Apple Store based on credit card information.When making the order, the Grants Office should be entered as the place for delivery.

5. [Each instructor]: Print the [Request form for orders using public research funds], quote, Invoice, Delivery note and submit them to the Grants Office.

6.[ Grants Office ]: Issue an acceptance form once the goods have arrived. The documentation goes to the Research Promotion Office and the goods purchased should be handed over to the instructor.

### 3 *Other points to note*

● Please submit a "JCB Card Application Form" for each order.

● Nanzan Apple Store has clarified with NES that for purchases of 200,000 yen or more, NES is not able to offer better deals in terms of price or delivery time, so the need to acquire a competitive quote is removed.

### 4 *Notes: Documentation*

The documentation required for making purchases from the Nanzan Apple Store is as follows:

・Order acknowledgment → order acceptance (PDF) 「注文受付（PDF）」 or order confirmation e-mail「注文確認メール」

## ◇Pache Research Subsidies

### 【Pache Research Subsidy I–A-1 (Specified Research Support: Special Category) & I-A-2 (Specified Research Support: General Category)】

**1** ***Description***

To provide support for specified individual or group research projects. (Note 1).

**2** ***Funds available***

Funding for Specified Research Support is classified according to two categories:

- I-A-1: Special Category Subsidy: Up to 1,000,000 yen per project (Note 2).
- I-A-2: General Category Subsidy: Weighted allocation will be made within the available budget depending on applications and allocations for Scientific Research Funding or for other Public Research Subsidy Funding (Note 3).

**3** ***Application period***

Information is distributed in writing to all members of staff in mid-March to early April regarding procedures for the academic year concerned.

**4** ***Means of application***

Prescribed form to be filled in as required and submitted to the Research Promotion Office.

**5** ***Criteria for application***

Joint research (only by full-time members of the University teaching staff) is recognized as qualifying for applications for the “Special Category.” However, members of the Committee for Allocation of Pache Research Subsidies may not apply.

Applications for the “General Category” are limited to those from individual researchers.

**6** ***Decision process***

After screening, the Committee for the Allocation of Pache Research Subsidies draws up a proposal regarding allocation of funds for final approval by the University Senate.

**7** ***Special remarks***

Those having published research with no clear indication of subsidy support do not qualify for subsequent awards. Those who have not taken or completed the Research Ethics Education course specified by the University are not eligible to apply. New faculty members may apply even if they have not yet completed the course, provided that they take and complete the course by the deadline for taking the on-campus "Research Ethics Education" course.　Note that there are no restrictions with regard to previous support received or to the awarding of continued funding.

**8** ***Notes***

- Funds made available on provisional basis subject to decision on allocation, with funds to be accounted for by end of January of following year.
- By submitting a payment plan, it is possible to extend the deadline for settlement of accounts until the end of February. New faculty members may apply even if they have not yet completed the course, provided that they take and complete the course by the deadline for taking the on-campus "Research Ethics Education" course.
- Please note, however, that employment of part-time staff is deemed to be until the end of January. Also, for tax purposes, those payments to individuals for services rendered (謝礼費 *shareihi*) that are to be handled as income received within the year will need to be accounted for by Late November, 2025（Details are provided in the Guidelines to the Handling of the Pache Research Subsidy I-A (Specified Research Support) for the 2025 Academic Year）.

(Note 1) Please note that whether language instructors and specially appointed instructors are able to apply or not will be determined by their employment regulations and their employment contract.

(Note 2) With regard to the “Special Category,” no more than two research subsidies will be allocated per year (total of 2 million yen), with the distribution being decided based upon the past achievements and research plan submitted by the applicant. This subsidy funding will not be granted on a proportional basis. However, if no applications are deemed worthy of subsidies, this budget will not be used. If some of the budget remains, this will not be available to be allocated in the general category.

(Note 3) The distribution of the research subsidy funding is carried out as outlined below. The amount to be allocated to applicants will be determined in the order specified below. However,the amount allocated will be limited to the maximum amount applied for. In the event that the maximum amount cannot be allocated to all applicants in a given stage, the amount will be allocated equally to applicants in that stage and not to applicants in the next and subsequent stages.

a.) Funding for first-time applicants applying within the first three years of their appointment will be apportioned to an upper limit of 400,000 yen.

b.) The following is based on the status of application and acceptance of Grants-in-Aid for Scientific Research or other publicly solicited research grants (limited to those solicited by the institution) (hereinafter both are collectively referred to as Grant-in-Aid for Scientific Research, etc.).

1.) Up to 300,000 yen will be allocated to those who have a project as a Principal Investigator in the current fiscal year and those who have applied for Grants-in-Aid for Scientific Research, etc. as a Principal Investigator and have been selected within one year prior to the deadline for application for the Research Fellowship in the current fiscal year.

2.) In principle, up to 300,000 yen will be allocated to those who have a research project as a Co-Investigator or those who have applied for Grants-in-Aid for Scientific Research as a principal investigator and have been rejected within one year prior to the deadline for application for this research incentive grant. However, applicants whose plans or use of the research funds are judged to lack consistency or appropriateness will be handled in the same manner as described in 3.

3.) Up to 50% of the amount allocated in 1 will be allocated to those who have not applied for Grants-in-Aid for Scientific Research, etc. within one year prior to the application deadline for the relevant fiscal year, and to those who have applied for Grants-in-Aid for Scientific Research, etc. as a Co-Investigator but were not selected within one year prior to the application deadline for the relevant fiscal year.

## 【Pache Research Subsidy I–B (Specified Books & Materials Support)】

**1** ***Description***

Books and back number journals (including digital resources) plus support for equipment that will contribute to specific research at undergraduate level in the faculties (including the Anthropological Institute, Nanzan Institute for Religion and Culture, Institute for Social Ethics, Foreign Language Education Center, Center for Teacher Education, Center for Information and Communication Technology, Physical Education Center, Center for International Affairs and the Health Center).

⑴Something that contributes to specific research

⑵Something deemed to be very necessary within the faculty etc.

**2** ***Funds available***

Over 500,000 yen per application.

**3** ***Application period***

October for following year.

**4** ***Means of application***

Prescribed form to be filled in and submitted to the Faculty etc. office together with necessary documentation, including product catalogues, etc.

**5** ***Decision process***

The Committee for the Allocation of Pache Research Subsidies draws up a proposal regarding allocation of funds for final approval of the University Senate based on priority determined by the Faculty etc..

**6** ***Special remarks***

Items are to be procured during the year for which the funds are awarded.

## 【Pache Research Subsidy II–A (Faculty-Allocated Research Support)】

**1** ***Method of allocation***

Allocations made from the Research Promotion Office to the Faculty etc..

## 【Pache Research Subsidy II–B (Overseas Travel Support)】

**1** ***Description***

To provide support for overseas travel expenses when presenting papers at conferences or meetings of learned societies held outside Japan.

**2** ***Funds available***

Funding covers an actual economy class airfare as evidenced by a receipt with the upper limit of the Subsidy set at 200,000 yen.

The difference in travel expenses, daily allowance, and accommodation expenses in excess of 200,000 yen may be covered by a combination of Research Trip Fund administered by the Personnel Office., scientific research funds and other public research funds, Pache Research Subsidy I-A, funded research funds, joint research funds, scholarship donation, and private grants (however, if the funding source has a separate stipulation, the stipulation shall be followed.) Subsidies are limited to economy class.

**3** ***Application period***

First half (from mid-March), second half (from September).

The first half of the year is for conferences that begin in April through September, and the second half of the year is for conferences that begin in October through March.

**4** ***Means of application***

Application form (certified with the signature of the Department Chair (or the Graduate Program Director , the Deputy Center Director, the Institute Director), Head of the Graduate School (or Director of the Graduate Program, the Center Director, Chair of Institute General Committee)) and all of the following documentation to be submitted to the Research Promotion Office.

- Airfare receipt issued by airline, travel agency, etcincluding a full breakdown of each of the costs, made out to "Nanzan University, *applicant name*" and a detailed itinerary.
- Conference schedule or program with the applicant as a presenter.
- Conference paper (in addition to written manuscripts, materials such as powerpoint presentations are accepted).

**5** ***Decision process***

Decision is made after the application is discussed in the Committee for the Allocation of Pache Research Subsidies. A proposal regarding the allocation of funds is then presented to the University Senate for the record.

**6** ***Special remarks***

A report on the trip (certified with the signature of the Department Chair (the Deputy Center Director, the Institute Director) or Director of the Graduate Program, and Dean of Faculty or Head of the Graduate School(the Center Director, Chair of Institute General Committee)) to be submitted to the Research Promotion Office upon return.

**7** ***Notes***

Please note that whether language instructors and specially appointed instructors are able to apply or not will be determined by their employment regulations and their employment contract.

## Miscellaneous Research Subsidies

### ◇ Nanzan University Monograph Series Publication Subsidy

The Publication Subsidy is supported through the funds of the Nanzan Academic Society and provides support for the publication of work of superior quality conducted by full members of the Nanzan Academic Society.

**1** ***Description***

- Only for publication of original academic works; (As a general rule, translated works or works written as textbooks are not eligible).
- Individually or co-authored works are acceptable. However, for works that have been co-authored with a full-member the Nanzan Academic Society to qualify, at least 3/4s of the work must have been written by the member the Nanzan Academic Society.
- Works published in foreign languages are also eligible for support.

**2** ***Funds available***

Up to 1,700,000yen per work to cover expenses directly involved with publication.

**3** ***Application period***

Around late October of the previous year (Application information will be posted on PORTA around the beginning of October of the previous year)

**4** ***Means of application***

①Submit application forms to the Research Promotion Office. by late October of the previous fiscal year.

②Submit a completed manuscript, a list of nominees for review committee members, and a rough estimate to the Educational Planning and Research Promotion Office by March of the previous fiscal year.

**5** ***Decision process***

Award decisions are subject to Executive Committee consideration of the publishing proposals together with the reports of the advisors entrusted with evaluating the academic value of the work.

**6** ***Special remarks***

- In principle, the maximum number of projects to be funded is nine per fiscal year.
- To be eligible for subsidy support it must be possible to publish the work within the academic year in question.

### ◇Faculty-Allocated Library Materials Fund

**1** ***Description***

To provide funds for the purchase of academic materials required for the University Library. Note that allocations for the Individual Library Materials Acquisition Fund are disbursed from the Faculty-Allocated Library Materials Fund.

**2** ***Funds available***

Funding for the annual purchase of library materials is classified according to the following categories:

- Individually-allocated funds (150,000 yen per member of faculty)#
- Funds to purchase books for currently enrolled students (undergraduate or postgraduate): Determined based on the number of students enrolled as of May 1
- Faculty pool or Center pool funds for books: 2,500,000 yen (2,900,000 yen for the Faculty of Humanities and the Faculty of Foreign Studies.)

**3** ***Application period***

By the end of January

**4** ***Means of application***

- Submit to ty the Library Administrative Office.
- Apply from the library web page (MyLibrary) or Application by the prescribed Excel file is also acceptable

**5** ***Decision process***

Decisions are made by the University Senate based on the deliberations of the Library Committee.

**6** ***Notes***

- Purchased materials will be placed on Nanzan University Reiners Central Library web page (digital resources portal) or in Nanzan University Reiners Central Library. Depending upon the employment status of the member of the teaching staff, there will be cases in which individually-allocated funds are not available.
- Center pool funds are for use by the Foreign Language Education Center, the Center for Teacher Education, the Center for Information and Communication Technology, the Physical Education Center, the Center for International Affairs and the Health Center.

# The following amounts will be allocated if an instructor is appointed part way through the academic year: April to December 150,000 yen, January to March 50,000 yen.

## ◇Research Trip Fund

**1** ***Description***

①To provide support for travel expenses incurred when attending conferences or meetings of academic societies, research groups, seminars, etc. or for when collecting research materials or carrying out surveys, domestically or overseas.

②Funding covers the cost of transportation, accommodation, and a daily allowance.)

**2** ***Funds available***

An amount for each individual determined according to the funding allocation policy of the faculty and within the total amount of research funding allocated to that faculty.

**3** ***Application period***

None specified.

**4** ***Means of application***

Prescribed form to be filled in as required and submitted to the faculty etc. offices together with documentation pertaining to the conference or meeting being held, or the schedule of the gathering of research materials or the survey being carried out.

**5** ***Decision process***

Decisions rest with the relevant director subject to the approval of the Department Chair or Director of the Graduate Program and Dean of Faculty or Head of the Graduate School.

**6** ***Special remarks***

- Until a supplementary budget is compiled, no limit is placed upon amounts transferable between individual research funds and research trip funds if the amount is within that for individual allocations of research funding.
- For research trips made within Japan, the funding covers the prescribed fare. For research trips to locations outside Honshu please specify if you will travel by air or over land. If you travelled by air, please attach a receipt if you wish to have actual costs covered. For receipts that include both the fare and the accommodation, only those that clearly show the breakdown can be submitted.
- For overseas trips, in addition to the prescribed domestic fare, the stipend for airfare covers the actual cost of an economy class up to normal economy fare. Please ensure that an airfare receipt, with a full breakdown of costs, and a detailed itinerary, are attached to the Subsidy application.
- For details of the rates of payment for accommodation on days before or after your work commitment, please refer to Nanzan University Regulations Article 16 Clause 2 and 3 covering Nanzan University work-related travel.
- When used in conjunction with Pache Research Subsidy II–B, airfares of an amount equivalent to the difference between the actual cost as evidenced by receipts, and the amount of the Pache Research Subsidy funding.
- Funding may only be used for activities during the year in which funds are disbursed.
- Irrespective of whether funding is being received in whole or in part for participation at conferences, etc., the submission of an application to make a research trip must in all cases be carried out using the prescribed form.
- A report on the trip (certified with the signature of the Department Chair or Director of the Graduate Program and Dean of Faculty or Head of the Graduate School) to be submitted to the faculty office upon return.

## ◇Short-Term Overseas Research Trip Fund

**1** ***Description***

To provide support for research trips overseas of short duration (up to three months) that are judged to be essential and effective in terms of the nature of the research.

**2** ***Funds available***

Once only, actual costs incurred for return travel and accommodation

(N.B. Budgetary limitations apply here.)

**3** ***Application period***

None specified.

**4** ***Means of application***

Research plan outline and a letter of invitation from the host institution to be submitted to the Dean of Faculty.

**5** ***Decision process***

A recommendation is made by the Faculty Meeting to the University Senate, which shall reach a decision after deliberation of the application.

**6** ***Special remarks***

The proposal should not interfere unduly with the carrying out of teaching duties, and confirmation must have been received from the host institution overseas.

**7** ***Notes***

- In principle, the upper limit for travel expenses is set at up to normal economy fare. However, when undertaking long-haul air travel on a given route, if normal economy fare-is not exceeded, funding shall cover the actual cost for business class.

## ◇Cost of a break from research

**1** ***Description***

①Those academic staff members who have worked for five or more years.

②Those people who are able to work as a fully-tenured academic staff member after the break from the research, for twice the length of the break taken.

③Those who have achieved a certain level of success in the area of research and can be expected to produce further research results.

④Those with a good service record at Nanzan University.

**2** ***Funds available***

If research is to be undertaken in an institution located outside of Japan, the cost of one return trip will be provided

**3** ***Application period***

When planning of personnel is occurring in the year before the holiday is to be granted.

**4** ***Means of application***

Recommended by a faculty dean

**5** ***Decision process***

President of the University provides this after deliberation at faculty meetings and the University Council, and with the approval of the Internal Board of Directors.

**6** ***Special remarks***

Period: changes according to the period of continuous employment

After the break from the research period, submit a report to the President of the University via the faculty dean.

**7** ***Notes***

- Recipients of the fund are obliged to remain in the employ of the University for a specified period of time upon completion of their research leave ends.
- In principle, the upper limit for travel expenses is set at up to normal economy fare. However, when undertaking long-haul air travel on a given route, if normal economy fare-is not exceeded, funding shall cover the actual cost for business class.

## ◇Overseas Study Fund

**1** ***Description***

To provide support for members of faculty who need to study abroad to acquire new skills or knowledge in furtherance of their academic career. Applicants should meet the following criteria:

①Have a considerable research publication record or possess a master's or doctor's degree;

②Have possibility to implement the obligation to remain in the employ of the University for a specified period of time upon completion of their study abroad program as defined by Article 34 of the Nanzan University Overseas Study Regulations;

③Be committed to the pursuit of knowledge and have a sufficient ability in the target language to enable them to fulfill their research objectives;

④Be in good physical health.

**2** ***Funds available***

Basic support allowance: 70,000 yen; Travel expenses: airfares and domestic transport costs; Monthly research allowance: 10,000 yen; Monthly maintenance fees: 40,000–100,000 yen; Initial expenses after arrival: 90,000–120,000 yen plus class enrolment and other such fees, foreign-language study expenses.

**3** ***Application period***

Selection procedures are, as a rule, to be undertaken one year in advance of the proposed period of study abroad.

**4** ***Means of application***

Recommendation by the Dean of Faculty.

**5** ***Decision process***

After approval has been granted by the Faculty Meeting, the University Senate, and the Gakuen Board of Trustees, the successful applicant shall receive a directive from the University President.

**6** ***Special remarks***

Funding shall be for two years to study for a degree and one year in other cases (extensions may be granted depending on circumstances). After the completion of the study abroad program, submit a written report to the president of the university through the dean.

**7** ***Notes***

- Recipients of the fund are obliged to remain in the employ of the University for a specified period of time upon completion of their study abroad program.
- In principle, the upper limit for travel expenses is set at up to normal economy fare. However, when undertaking long-haul air travel on a given route, if normal economy fare is not exceeded, funding shall cover the actual cost for business class.

## ◇Conference Events Fund

**1** ***Description***

Academic conferences that Nanzan academic staff are responsible for or participate in the organization of, non-Nanzan conferences held within the Nanzan School Corporation facilities either in-person or in hybrid form (partly in-person and partly online), or non-Nanzan conferences held online.

**2** ***Funds available***

Funding is subject to submission of detailed conference proposals, with funds disbursed in accordance with the following:

- National conference: Up to 200,000 yen
- Regional conference: Up to 60,000 yen
- Special events: Up to 1 million yen

**3** ***Application period***

Around October of the year preceding that in which the event is to be held.

**4** ***Means of application***

Academic Conference Planning and Support Application Form to be filled in and submitted to the Research Promotion Office, subject to the approval of the the Department Chair (or the Graduate Program Director , the Deputy Center Director, the Institute Director),and Dean of Faculty (or Director of the Graduate Program, the Center Director, Chair of Institute General Committee) ,along with the previous year's brochure and other documents that give an overview of the conference.

**5** ***Special remarks***

- Events held under the auspices of University internal organizations or groups such as research group meetings and lectures or other department-based events held by a faculty or department are beyond the scope of this fund.
- Events held regularly every year using Nanzan Gakuen facilities as the venue or for which the University provides the administrative functions, such as research group meetings and lectures, are beyond the scope of this fund.
- Successful applicants, academic societies and/or research groups for this academic year do not qualify for the three years from the following academic year.
- All costs related to social gatherings including those for food and drink are beyond the scope of this fund.

**6** ***Notes***

After the event, a report on the results of the conference, the accounts accompanied by related receipts made out in the name of the University, the various receipts for the subsidy funding by category of use (made out in the name of the event) and conference pamphlets issued on the day of the event are to be submitted to the Research Promotion Office.

## ◇Grants-in-Aid for Scientific Research

Grants-in-Aid for Scientific Research are competitive funds that are intended to significantly develop all scientific research (research based on the free ideas of the researcher), from basic to applied research in all fields, ranging from the humanities and the social sciences to the natural sciences. The grants provide financial support for creative and pioneering research projects that will become the foundation of social development. The research projects are selected using a peer-review screening process (screening by multiple researchers whose field of specialization is close to that of the applicant).
In order to apply, applicants should meet the requirements (1) through (4) below.

**＜Eligibility requirements for researchers＞**

(1) At the time of application, applicants need to be recognized by a designated research institution (see note below) as being a researcher who meets the requirements a), b), and c) below, and need to be registered in the Cross-ministerial Research and Development Management System (e-Rad) as eligible to apply for a Grant-in-Aid.

Requirements

a) The researcher should belong to the research institution as someone whose duties include performing research activities within the institution (regardless of whether the work is paid or unpaid, full-time or part-time; nor is it necessary for these research activities to be the researcher's main duty).

b) The researcher should actually be engaged in research activities at the institution. (This does not apply to those engaged only as a research assistant.)

c) The researcher is not a graduate student or other category of student. (This does not apply to persons whose position consists of conducting research activities in their institution as their main work (e.g., university teaching staff, researchers from companies, etc.) and who also have a student status.)

(2) Applicants should not have been designated as "Not eligible to apply for receipt of funding" in the year in which applications are being accepted, due to having committed fraudulent use, fraudulent receiving of grants, or fraudulent acts using Grant-in-Aid for Scientific Research or other competitive funding.

**＜Eligibility requirements for Research Institutions＞**

(3) When a grant is issued, the research institution must implement the subject research activity as its own project.
(4) When a grant is issued, the research institution must administer the money as its own funds.

**【Research Categories】**

| **Research categories, etc.** | Purposes and description of each research category |
|---|---|
| Grants-in-Aid for Scientific Research | |
| Grant-in-Aid for Specially Promoted Research | Outstanding and distinctive research conducted by one or a relatively small number of researchers expected to achieve remarkably excellent research results that opens up a new scientific field. (The period is 3 to 5 years. The budget ranges from 200 million to 500 million yen per project) |

| | | |
|---|---|---|
| | Grant-in-Aid for Transformative Research Areas | (A)<br>Research areas proposed through co-creative and interdisciplinary efforts of diverse researchers, which aim to create research areas that will lead the way to radical transformation of and change in the existing framework and/or direction of research as well as upgrade and level-up of scientific research in Japan and nurturing young researchers, and will contribute to the development of the proposed research areas through efforts for joint research and shared use of equipment, etc. (5 years; more than 50 million yen and up to 300 million yen per fiscal year per research area (In a truly necessary case, a budget exceeding 300 million yen may be requested.))<br>(B)<br>Research areas proposed by compact groups of researchers who will be bearers of the next generation of research with a smaller budget scale (about 3 or 4 groups), which aim to create research areas that will lead the way to radical transformation of and change in the existing framework and/or direction of research as well as upgrade and level-up of scientific research in Japan through more challenging and exploratory research, and expected to lead to the Transformative Research Areas (A) in the future. (3 years; 50 million yen or less per fiscal year per research area) |
| | Grant-in-Aid for Scientific Research on Innovative Areas (Research in a proposed research area) | This category is intended to foster novel research areas proposed by diverse groups of researchers that are expected to lead to development and heightening of Japan's research level in the respective fields, to be conducted by collective research efforts through collaboration, scholarly training, shared use of equipment, etc.<br>The period is 5 years. The budget range is generally set between 10 million to 300 million yen per fiscal year per proposed area.<br>[A call for proposals for "budget for collecting research results of Finished Research Area" only is put out in FY2023 and beyond.] |
| | Grant-in-Aid for Scientific Research | (S): Creative/pioneering research conducted by one or a relatively small number of researchers.<br>5 years (in principle) 50 million to 200 million yen<br>(A), (B), (C): Creative/pioneering research conducted by one researcher or jointly by multiple researchers. (The period is 3 to 5 years.)<br>Classification of A, B and C depends on the total budget<br>(A) From 20 million to 50 million yen<br>(B) From 5 million yen to 20 million yen<br>(C) 5 million yen or less |
| | Grant-in-Aid for Challenging Research (Pioneering) (Exploratory) | Research conducted by a single or multiple researchers that aims at radically transforming the existing research framework and/or changing the research direction and has a potential of rapid development.<br>The scope of the (Exploratory) category encompasses research proposals that are highly exploratory and/or are in their budding stages.<br>(Pioneering) 3 to 6 years 5 million to 20 million yen<br>(Exploratory) 2 to 3 years 5 million yen or less |
| | Grant-in-Aid for Early-Career Scientists | Research conducted by an individual researcher (*) who is less than 8 years after Ph.D. acquisition.<br>(*)Individuals who are in the prospect of acquiring Ph.D. are also eligible. When counting the years after Ph.D. acquisition, the period of maternity leave and childcare leave can be excluded.<br>(The period is 2 to 5 years. The budget is up to 5 million yen per project.) |

| | | |
|---|---|---|
| | Grant-in-Aid for Research Activity Start-up | Research conducted by one researcher who has just been employed by his/her research institution by one researcher who has returned from his/her childcare or other kinds of leave<br>(The period is 1 to 2 years. The budget is up to 1.5 million per fiscal year.) |
| | Grant-in-Aid for Encouragement of Scientists | Research conducted by a single person who belongs to an educational or research institution or a company, etc., and who is conducting research that contributes to the promotion of science. (The period is up to 1 year. The budget is above 100,000 and up to 1 million yen per project.) |
| Grant-in-Aid for Special Purposes | | Research projects of pressing urgency and importance. |
| Grant-in-Aid for Publication of Scientific Research Results | | |
| | Publication of Research Results | Subsidy for publication and/or international dissemination of research achievements of high academic values executed by academic associations and other organizations. |
| | Enhancement of International Dissemination of Information | Subsidy for efforts by academic societies and other scholarly organizations to strengthen international dissemination of academic information for the purpose of international academic exchange. |
| | Scientific Literature | Subsidy for academic publication of research results (books) authored by an individual or a group of researchers. |
| | Databases | Subsidy for creation and operation of a database open to public use, by an individual or a group of researchers. |
| Grant-in-Aid for JSPS Fellows | | Funding period is up to 3 years for research conducted by JSPS Fellows (including Foreign JSPS Fellows). As for Cross-border Postdoctoral Fellowship (CPD) the period is up to 5 years. |
| Fund for the Promotion of Joint International Research | | |
| | International Leading Research | This grant aims to enable research groups led by top-level researchers in our country to play a central role in the international network, thereby achieving research results of high scientific value internationally. With the participation of postdoctoral fellows and graduate students, the grant seeks to foster researchers who can play leading roles in the international research community in the future.<br>(7 years (extendable up to 10 years); up to 500 million yen) |
| | Fostering Joint International Research | Support of joint international research project conducted by a KAKENHI grantee in collaboration with researcher(s) at foreign university or research institution. Over a period of 6 to 12 months. The grant seeks to markedly advance research plans for the root research project and to foster independent researchers who can be internationally competitive. (The budget is up to 12 million yen.) |
| | Home-Returning Researcher Development Research | Support of research to be conducted by a Japanese researcher with current affiliation abroad who is to be newly appointed at university or research institution in Japan. (The period is up to3 years. The budget is to 50 million yen.) |

## ◇Subsidies for Projects in Private Universities etc.

Here we outline the four main types of support projects for private universities etc.

| Name | Outline | pages |
|---|---|---|
| Subsidies to improve education and research equipment/facilities at private undergraduate and graduate schools [Research Equipment] [Educational Equipment] [Projects to Promote the Use of ICT] | Support for part of the costs required for research equipment and its maintenance in private universities (excluding junior colleges) and projects to promote the use of ICT in order to substantively enhance the education and research in such universities. | 24～26 |
| Research subsidies for private universities [Research Equipment] [Educational Infrastructure] | Support for part of the costs required for the maintenance of research facilities (excluding junior colleges) and educational infrastructure to promote academic research and distinctive education in private universities. | 26～27 |
| Academic Research Promotion Fund | The Promotion and Mutual Aid Corporation for Private Schools of Japan operates this fund (Academic Research Promotion Fund) created with donations accepted from a wide range of sources. The returns on the fund are used to support academic research with a strong societal demand, and in order to contribute to the promotion of distinctive academic research, funding is provided for private universities, junior colleges and specialized vocational high schools. | 27～28 |
| Scholarship Fund for Young / Women Researchers | It is made up of Scholarship Fund for Young Researchers and Scholarship Fund for Women Researchers and this is funded by donations gathered by the Promotion and Mutual Aid Corporation for Private Schools of Japan from a broad range of sources in society. By providing research opportunities for creative research with growth potential that is based on the researcher's free thinking, the aim is to contribute to enhancing the desire to carry out new research and the development of human resources. | 28～30 |

◎　The details entered regarding the projects supported are based upon information available at the time the Research Funding Handbook was put together. Please understand that changes to the content of a project being supported may make it different to when the application was lodged.

## ◇Subsidies to improve education and research equipment/facilities at private undergraduate and graduate schools

**【Research Equipment】**

**1** ***Description***

(1) Equipment required in private universities (excluding junior colleges) by professors, associate professors and other staff engaged in basic research for academic purposes as part of their duties, or the machines, apparatus and other equipment required to offer research guidance to postgraduate students (excluding equipment that will mainly be used in the instruction of undergraduate students, diagnoses and treatment etc. in hospitals attached to universities.)

**2** ***Scope of support***

(1) That there is a significant need for the piece of equipment in question with regard to the research topic, and that the introduction of that equipment can be expected to lead to progress in the research.

(2) With regard to the building or facility etc. in which the piece of equipment in question is to be introduced, it shall be accessory works involving new construction or renovation (if the facility is being extended or renovated), or where improvement work such as electrical, gas or plumbing work is required. Furthermore, of that, the cost of the accessory works involving new construction or refurbishment, electrical, gas or drainage work etc. required to introduce the piece of equipment in question shall qualify for support funding. However, the lower limit of the cost that qualifies for support shall not include construction costs.

(3) That the price of one unit or set is <u>40 million yen or above</u>. (However, this amount does not include costs not covered because they are outside the scope of support, or because that equipment or facility is jointly used by a university and a junior college.)

(4) In the case that machines or apparatus etc. come as one set, that equipment shall possess inherently linked functions that give it a oneness. Please note that even if the amount spent is that mentioned above or higher, if the equipment purchased is merely a number of pieces grouped together it will not be seen as one set.

(5) That a system be in place to oversee and administer the maintenance of equipment.

**3** ***Degree of support***

Up to half of the total costs of the cost of improving equipment and refurbishment cost of the facilities.

**4** ***Application period***

Varies by year (May-June for FY2024)

**5** ***Method of application***

Submit a plan to the Office of the Center for Information and Communication Technology.

**6** ***Procedure***

Having created a specific project plan the previous June, an application will be submitted to the Ministry of Education (MEXT)after deliberation by t the Center for Information and Communication Technology Steering Committee and the Budget Committee.

## Subsidies to improve education and research equipment/facilities at private undergraduate and graduate schools

**【Educational Equipment】**

**1** ***Description***

(1) Machines, apparatus and other equipment required to deliver education in private universities (excluding items that will mainly be used for research, or diagnoses and treatment etc. in hospitals attached to universities.)

**2** ***Scope of support***

(1) That there is a significant need for the piece of equipment in question with regard to the education topic, and that the introduction of that equipment can be expected to lead to progress in the delivery of education.

(2) With regard to the building or facility etc. in which the piece of equipment in question is to be introduced, it shall be ancillary works involving new construction or renovation (if the facility is being extended or renovated), or where improvement work such as electrical, gas or plumbing work is required.

Furthermore, of that, the cost of the ancillary works involving new construction or refurbishment, electrical, gas or drainage work etc. required to introduce the piece of equipment in question shall qualify for support funding. However, the lower limit of the cost that qualifies for support shall not include construction costs.

(3) That the price of one unit or set (costs incurred purchasing equipment eligible for support) is 40 million yen or above.

(4) In the case that machines or apparatus etc. come as one set, that the equipment shall possess inherently linked functions that give it a oneness. Please note that even if the amount spent is that mentioned above or higher, if it is merely a number of pieces of equipment grouped together it will not be seen as one set.

(5) That a system be in place to oversee and administer the maintenance of the equipment.

**3** ***Degree of support***

Up to half of the total costs of improving equipment and refurbishment cost of the facilities.

※ The upper limit for payment to a single university is 40 million yen. Depending upon the overall situation with applications, there may be some adjustment within the budget.

**4** ***Application period***

Varies by year (May-June for FY2024)

**5** ***Method of application***

Submit a plan to the Office of the Center for Information and Communication Technology.

**6** ***Procedure***

Having created a specific project plan the previous June, an application will be submitted to the Ministry of Education (MEXT) after deliberation by the Center for Information and Communication Technology Steering Committee and the Budget Committee.

## Subsidies to improve education and research equipment/facilities at private undergraduate and graduate schools

**[Projects to promote the use of ICT]**

**1** ***Description***

This refers to ICT equipment required for research or educational purposes in private universities (is restricted to work necessary in the facilities in order to install the equipment). The following criteria must be met:

**2** ***Scope of support***

1) That the cost of the plan for enhancement of equipment is no less than 10 million yen. Please note that if component parts of a project being deemed not to qualify for funding support makes the total cost less than the lower limit stated above, the project will be handled as not qualifying for support. Also, as outlined below, there is an upper limit for support funding for the cost of refurbishing work. In addition, the cost of execution design will be seen as qualifying within the design cost of the works that qualify for support funding.
The upper limit for construction cost is the area of the enhancement work in the facility to receive support funding multiplied by 196,100 yen.

2) With regard to ICT equipment, support funding is provided for Audio-visual equipment (video projectors, screens etc.) apparatus control equipment, input-output equipment, equipment control tables, transceiver equipment, equipment used for creating teaching and other related materials. Furthermore, the minimum requirements for computers required to operate or use the ICT equipment in question will qualify for support funding.

3) With regard to refurbishment of existing facilities, as per the separate chart, support is offered for work required in relation to the introduction of ICT equipment (the main work and ancillary work).

Main construction

These shall be the costs required for the main construction work itself (including the cost of the design work) and will include the cost of the structural work for the building (foundations, framing, floor systems, roof trusses and walls etc.), the finishing work, (ceilings, fitting, joinery, internal and external decoration and other finishing work etc.) and other miscellaneous work (general work required within buildings such as blackboards, noticeboards, shelves, mirrors, room name boards for lecture rooms etc.).

Ancillary work

The cost of ancillary work shall be the cost of the ancillary work required to complete the main construction (including the cost of the design work). It refers to the construction work, the work on electrical equipment, lighting equipment, and ICT construction work. Construction not directly related to the building in question; construction inside existing buildings other than that in question, outside the grounds of these and other costs indicated in the chart are not included.

4) Costs involved in connecting cables from the existing on-campus LAN network to devices to be installed.

5) With regard to fixtures required for the introduction of ICT equipment, items that are inseparable from the equipment and are essential for its operation qualify for support.
(Eg. control tables into which equipment is housed.)

(separate chart)

| Facilities that qualify for support | Examples of facilities that qualify for support |
|---|---|
| Types of lecture room | ICT lecture rooms, and attached rooms such as preparation rooms etc. |
| Types of lecture room | Researchers' research rooms, rooms for creating teaching materials, library rooms and other attached rooms required to carry out research. |

**3** ***Degree of support***

Support funding amounting to no more than half of the purchase cost of equipment, the refurbishing of facilities (including the cost of on-campus LAN installation) and air-conditioning.)

※ The upper limit for payment to a single university is 40 million yen. Depending upon the overall situation with applications, there may be some adjustment within the budget.

**4** ***Application period***

Varies by year (February-April for FY2024)

**5** ***Method of application***

Submit a plan to the Office of the Center for Information and Communication Technology.

**6** ***Procedure***

Having created a specific project plan the previous June, an application will be submitted to the Ministry of Education (MEXT) after deliberation by the Center for Information and Communication Technology Steering Committee and the Budget Committee.

## Research subsidies for private universities

**[Research Equipment ]**

**1** ***Description***

(1) Machines, apparatus, specimens, books and other equipment required in private universities (excluding junior colleges) by professors, associate professors and other staff engaged in basic research for academic purposes as part of their duties.

**2** ***Scope of support***

(1) That its use is for research purposes (excluding items that will be used for education, or diagnoses and treatment) and that there is a significant need for the piece of equipment in question with regard to the research topic, and that the introduction of that equipment can be expected to lead to progress in the research.

(2) That one unit or one set cost <u>at least 5 million yen (1 million yen in the case of books).</u> However, please note that even if the amount spent is 5 million yen or more , if it is merely a number of pieces of equipment grouped together it will not be seen as one set. Please also note that if items being removed from the calculation because they do not qualify reduces the amount of the total for the application to a figure lower than 5 million yen (1 million yen for books) the application will not qualify for consideration.

(3) In the case that machines or apparatus etc. come as one set, that equipment shall possess inherently linked functions that give it a oneness in terms of their use.

(4) That in the case that the equipment is only parts or accessories, the main piece of the equipment has already been purchased.

(5) That a system be in place to oversee and administer the maintenance of the equipment.

**3** ***Degree of support***
No more than two-thirds of the cost required to refurbish equipment
※ The upper limit for payment to a single university is 10 million yen. Depending upon the overall situation with applications, there may be some leeway for adjustment within the budget.
**4** ***Application period***
From October to November (for two years later / University internal deadline)
**5** ***Method of application***
Fill in the prescribed form, attach documents such as a catalogue featuring the item that you wish to purchase and submit them to the Research Promotion Office. However, please inquire at the Office of the Center for Information and Communication Technology regarding information processing related equipment for research purposes.
**6** ***Procedure***
An application will be submitted to the Ministry of Education (MEXT) after deliberation by the Library Committee, the Pache Research Subsidy Disbursements Committee, and the Faculty Senate. If selected, a specific project plan will be prepared, and after the Budget Committee makes a decision, a budget will be allocated.
**7** ***Notes***
It must be possible to have the item in question delivered two years later.

## Research subsidies for private universities

**[Educational Infrastructure ]**

**1** ***Description***
(1) Infrastructure required in private universities in order to deliver education.
**2** ***Scope of support***
(1.) Equipment required for students' experiments etc. This equipment will be necessary in terms of the delivery of the educational content in question and its introduction can be expected to lead to educational advances.
(2.) The price of one unit or one set will (the purchase cost eligible for support funding) should be at least 5 million yen. Please note that even if the amount spent is that mentioned above or higher, if the equipment purchased is merely a number of pieces grouped together it will not be seen as one set.
(3.) Please note that costs for what is judged to be furniture, fixtures or other peripheral items and books does not qualify for support. This also applies to some instructors.
**3** ***Degree of support***
Up to one half of the cost required to purchase the equipment.
※ The upper limit for payment to a single university is 10 million yen. Depending upon the overall situation.
**4** ***Application period***
Varies by year (May-June for FY2024)
**5** ***Method of application***
Submit a plan to the Office of the Center for Information and Communication Technology.
**6** ***Procedure***
Having created a specific project plan the previous June, an application will be submitted to the Ministry of Education (MEXT) after deliberation by the Center for Information and Communication Technology Steering Committee and the Budget Committee.

## Academic Research Promotion Fund

**1** ***Fields of Research Supported***
(1) Humanities and social sciences, ("Humanities/Social Sciences-related") (2) Natural sciences ("Engineering /Agriculture-related," "Biology-related" and "Medicine-related")
**2** ***Type of research eligible***

One application, either new or ongoing, per private university. The research must meet the following two criteria:
1.) That it is research carried out by at least two full-time members of the Nanzan University teaching staff, also the research representative is a full-time member of the Nanzan University teaching staff. In case that the research is carried by at least three people, the teaching staffs of the Nanzan University except full-time members and teaching staffs who belong in other university can participate in the research.
2.) The applicant researchers must have at least one year's research experience as of application.

**3** ***Ongoing grants***

If the progress of the research in question necessitates, it is possible to apply for ongoing subsidy support for three consecutive years. However, the selection process must be undergone every year, so there is no guarantee of consecutive acceptance.

**4** ***Costs eligible***

Eligible costs of at least 600,000 yen are required (of which companies must bear at least half)

**5** ***Degree of funding***

No more than half of the costs eligible to be covered (acceptance by selection system). For an individual year, research projects in the field of natural sciences will an upper limit of support of 5 million yen, with other research fields being 2 million yen. Please note that even if the project is accepted, the amount of the subsidy grant decided upon may be less than the amount requested.

**6** ***Application period***

August (for the next year)

**7** ***Method of application***

Fill in the prescribed form and submit it to the Research Promotion Office.

## Scholarship Fund for Young / Women Researchers

**1** ***Fields of research supported***

All fields of research.

**2** ***Period of research***

Research to be carried out from 1 April in the year for which applications are being called for to 31 March of the following year.

**3** ***Researchers etc. Eligibility***

One person per one private university. All of the following four criteria must be met for both scholarships.
Young researcher: Must belong to the private university of application and be no older than 39 years of age on 1 April <u>in the year for which applications in the year are being called for</u>, <u>and as of 1 October in the year prior to that for which applications are being called for (the year in which the application is submitted) is working as an assistant professor or on post-doctoral duties</u>. The research must be carried out as an individual researcher by the person him or herself. This also applies to some instructors.
Women researcher: Must belong to the private university in question <u>and as of 1 October in the year prior to that for which applications are being called for (the year in which the application is submitted) and be working as an assistant professor or on post-doctoral duties</u>. The research must be carried out by a female researcher working by herself. This also applies to some instructors.

(1) That the person is employed by the private university in question and, as a general rule, as an assistant instructor is receiving salary on the basis that his or her key role is teaching, or as someone engaged in post-doctoral duties, is receiving salary on the basis of fulfilling a combination of roles. The person shall meet either (a) or (b) below as well as (c).
(a) Possess a doctoral degree.
(b) For Humanities/Social Sciences-related research, by the previous year to the year in question the researcher must have belonged to the university for at least the standard number of years required to acquire a doctoral degree, have acquired the prescribed credits, not be in graduate school as of 1 April in the year in question, or be recognized as possessing a level of ability equivalent to that of someone with a doctoral degree.
(c) That regulations are in place concerning matters of employment etc.
In addition, as for a lecturer, that the person who is receiving salary on the basis that his or her ley role is teaching, is working on his or her research, and is within 10 years (the period of maternity and child

care leave is excluded) of adoption by the corporation as of April 1 in the previous year (application period) is a condition.
In addition, for instructors who receive salaries mainly for teaching duties but are involved in research, as of 1 April in the year before the period of the application refers, (the year of the application), this applies to those who have been employed for ten or fewer years as an instructor in the corporate in question (excluding any periods of maternity or parental leave).

(2) That as of 1 October in the year of application, i.e. the year prior to the year for which applications are being called for, the researcher has not been accepted to receive subsidy funding for scientific research, either for a new application or for an ongoing project. (This includes those collaborating with other researchers.)

(3) That as of 1 October in the year of application, i.e. the year prior to the year for which applications are being called for, the researcher is not a special researcher of the Japan Society for the Promotion of Science

(4) That the researcher has not been accepted for research funding support (for young / women researchers) on this same topic in the past.

**4 *Amount granted***
Per head: 400,000 yen.
Total amount to be granted: 25 million yen (proposed amount)

**5 *Application period***
From August to September (for the next year)

**6 *Method of application***
Fill in the prescribed form and submit it to the Research Promotion Office.

## ◇Contracted research・Collaborative research・Scholarships

**1 *Commissioned research*** (受託研究 *Jutaku kenkyū*)
Research may be commissioned by an external source with the attendant costs borne by the commissioning body.

**2 *Invited research fellows*** (受託研究員 *Jutaku kenkyūin*)
Researchers may be invited by an external institution, which bears the research and other costs involved in carrying out research on a specified topic at the University under the supervision of a member of faculty of the University.

**3 *Collaborative research*** (共同研究 *Kyōdō kenkyū*)
Funding is available for research undertaken on a collaborative basis on a common topic of research with researchers from other institutions, with the costs of the researchers and research itself borne by an external institution.

**4 *Scholarships*** (奨学寄附金 *Shōgaku kifukin*)
Scholarships are available to subsidize the specific research of individual faculty members or educational and research activities in a field of research.

Acceptance of 1, 3 and 4 requires committee or faculty deliberation and campus drafting.

## ◇Private Foundation Research Support

Support is available for academic research at universities provided by private foundations. Depending on the founding aims of the respective foundations, the form of support in terms of content and objectives vary, as do the application periods. Further information is available in Japanese from PORTA (Portal System) and the Research Promotion Office via the "Support News" board (助成ニュース *Josei nyūsu*), on their Webpage（https://office.nanzan-u.ac.jp/kenkyu/kenkyuhi/joseinews）as it becomes available.
Information about grant applications can be found in the Private Grant Sources News (助成金応募ニュース, *Joseikin Obo-nyūsu*) of the Japan Foundation Center (助成財団センター *Josei zaidan sentā*) (http://www.jfc.or.jp/).

Since some applications require internal approval, please check the “Requests for Application” in the Research Promotion Division's webpage “本学の研究活動について” (https://office.nanzan-u.ac.jp/kenkyu/kenkyuhi/) before making an application.

# II. System for the administration and auditing of public research funding, Research involving human subjects, etc.

# Code of Conduct for Nanzan University Research Activities

(Objectives)
**Article 1** In order to maintain the credibility and impartiality of the academic research carried out at Nanzan University (hereinafter referred to as the "University"), we hereby establish a basic Code of Conduct for those involved in academic research activities (hereinafter referred to as "researchers") in the University and administrative support workers (hereinafter referred to as "research support staff").

(Definitions)
**Article 2** For the purposes of this Code of Conduct, the term "researchers" is deemed to refer to those people engaged in research at the University. When students are engaged in research activities, they are included in the definition of "researchers."
② For the purposes of this Code of Conduct, "research support staff" is deemed to refer to those people employed in the University to support research activities by administering and auditing the use of government research funds within the University.

(Basic philosophy)
**Article 3** Researchers and research support staff must adhere to the following basic principles with regard to research activities:

1. undertaking and supporting research that is beneficial to society by contributing to the intellectual foundation, health and welfare of mankind
2. dignity of life and human kind and respect for human rights
3. priority of the guarantee of human rights over scientific or social benefit
4. thoroughness in protecting personal information
5. ensuring matters of safety in research and maintaining an appropriate researchenvironment
6. prevention of fabrication, falsification, plagiarism, improper use of research funds and other improper conduct related to research
7. strict adherence to laws, University regulations and codes of conduct pertaining to research recognized by the likes of academic societies.

(Research involving human subjects)
**Article 4** Researchers carrying out research that involves personal information about individuals must do so in keeping with the procedures outlined in the Nanzan University Ethical Guidelines for Conducting Research Involving Human Subjects, and do so after having acquired the unequivocal consent of the individuals concerned.

(Research Screening Committee)
**Article 5** Researchers about to carry out research that requires screening by the Research Screening Committee under University regulations, must undergo such screening.
② In addition to that referred to in the previous clause, screening must also be carried out prior to the commencing the research as required by laws or the regulations of academic societies related to the field in question.

(Protection of personal information)
**Article 6** When storing or using personal information required for research purposes, researchers must strictly adhere to the Nanzan University Regulations Governing the Protection of Personal Information, taking great care to ensure that this information is not leaked and that individuals cannot be identified when research results are published.

(Prevention of fabrication, falsification and plagiarism)
**Article 7** In no circumstances must researchers carry out any of the following types of improperconduct in relation to research:

1. fabrication (creating data that does not actually exist)
2. falsification (changing or falsifying existing data)
3. plagiarism (using data from the research results or publications of other researchers without an appropriate reference to the original author)

② Researchers must take appropriate steps to ensure that other researchers working under their guidance, research support staff, people cooperating with the research, students or others involved in the research (hereinafter referred to as “subordinate researchers”) do not carry out any of the improper conduct referred to in the previous clause.
③ In order to prove that the improper conduct referred to in the previous clause is not occurring, researchers must ensure that necessary materials and data, in addition to records pertaining to the research (notes on experiments etc.) are stored and available for an appropriate period of time.

(Storage and disclosure of research data)
**Article 7 Part 2** Researchers must store the necessary materials, data and notes detailing the research process (laboratory notes etc.) for an appropriate period of time in order to allow for verification of research results. The specific period for storage will be determined separately.
② In principle, researchers must disclose their research data when requested to do so by the Screening Committee etc.

(Prevention of improper use of research funding)
**Article 8** When using research funds, researchers must do so in keeping with the relevant laws and University regulations. In addition, researchers must strive to use the research funds in the most effective and efficient manner possible.
② Researchers and research support staff must strive to meet their responsibilities and use the researchfunds in an appropriate manner, remaining constantly aware that the source of the research funding is operational grants or aid from central and regional government bodies, subsidies from foundations or corporations, joint research funds and grants.

(Response upon discovering improper behavior)
**Article 9** When researchers or research support staff become aware of improper behavior, they musttake swift steps to ensure that all details are brought into the open in an appropriate manner.

(Appropriate publication of research results)
**Article 10** Except for when there are logical constraints on the publication of results, such as in thecase of applications for patents, so as to widely disseminate the results of the research, the researcher must strive to use appropriate methods to publish such results.

② When publishing research results, there must be no consideration given to personal gain, nor must any improper pressure brought to bear to affect the objectivity of the results.

(Conflict of interests)
**Article 11** In carrying out research activities, researchers must remain impartial, paying due attention to potential conflicts of interest. In cases in which such conflicts of interest arise, information must be made available and the situation managed in an appropriate manner.

(Fair screening)
**Article 12** In cases in which researchers are to undergo screening for research subsidies or awards from academic societies or for academic journals, the screening must be carried out in a fair manner, taking into account only relevant academic standards and with no improper evaluation of matters such as the researcher's affiliations or relationships with other researchers being screened.
② Researchers who obtain research information in the process of undergoing the screening referred to the previous clause, must not use that information in an improper manner for the purposes of their own research, or leak it to other parties.

(Considering subordinate researchers)
**Article 13** When discharging their research activities, researchers must constantly strive to take into account the interests of the subordinate researchers. Improper conduct, such as any form of harassment, or taking advantage of the position of subordinate researchers to compel them to support or cooperate with your research is strictly forbidden.

(Safety management)
**Article 14** Researchers must take every precaution to ensure that the machinery, equipment or drugs used in experiments does not cause harm to those engaged in the research, or other people, whether they be affiliated or not affiliated to the University.
② Waste fluids, drugs or other materials used in the research must be disposed of in keeping with relevant laws and University regulations and must not be allowed to harm the natural environment.

(Roles of research support staff)
**Article 15** Research support staff must not become involved in any form of improper conduct when administering research funding.
② While it goes without saying that research support staff must not become involved in improper conduct by researchers, by fulfilling their role of administering and auditing the use of government research funds, they must also strive to ensure that improper behavior is prevented.

(Amendments to the Code of Conduct)
**Article 16** Any amendments to this Code of Conduct must be approved by the University president after having been considered by the Faculty Senate.

Supplementary provision
This Code of Conduct comes into force from April 1, 2009.
Supplementary provision
Amendments to this Code of Conduct came into force from April 1, 2015.
Supplementary provision
Amendments to this Code of Conduct came into force from October 1, 2016.

# Nanzan University's Position on Military Research

Research carried out by staff at Nanzan University (hereafter referred to as the University) is inkeeping with the philosophy of delivering education based upon a Christian world-view and thedevelopment of people who respect and promote human dignity. Such research must contributeto the University's educational motto of "For Human Dignity." That research carried out by ourstaff is required to meet this definition is clearly stated in the Code of Conduct for Nanzan University Research Activities, which espouses the basic philosophy of the "dignity of life and human kind and respect for human rights" and the "priority of the guarantee of human rights over scientific or social benefit."

As a university that espouses the motto of "For Human Dignity," our basic position is that we will not carry out military research (i.e. research with the objective of contributing to themilitary).

Even if the aim of the research is not to contribute to the military, subsidy funding from or participation by institutions etc. involved with the military or national security will be subject to robust screening procedures by the Research Screening Committee. This is in keepingwith the University's internal regulations, with decisions on approval being made from a standpoint that places utmost importance on human dignity.

Nanzan University Ethical Guidelines for Conducting Research Involving Human Subjects

1. Aim

The following are the ethical guidelines governing the behavior and attitudes of all people (hereinafter referred to as "researchers") gathering information and data directly from human subjects on their behavior, environment and physical and mental state for use in research activities (hereinafter referred to as "human subjects research") carried out both within and outside the University, and the matters to be considered when screening such research plans etc.

2. Principles of Research

In keeping with the educational ideology of Nanzan University, people engaged in research involving human subjects must respect the dignity of life and the dignity of the individual and execute their research using scientifically and socially appropriate methods and means.

(1) Those carrying our research involving human subjects must observe the laws of Japan, the declarations and guidelines issued by the relevant government agencies and the Nanzan University Regulations Governing the Protection of Personal Information.

(2) When carrying out research, respecting the human rights of the subject is of utmost importance and must be given priority over any potential benefits to science and society.

(3) When gathering information and data on individual subjects, researchers must use safe and secure methods, doing their utmost to avoid inflicting any physical or mental burden or pain on the subjects.

(4) Researchers engaged in research, or duties related to research, must have received the necessary education and training to enable them to execute their roles, and possess experience in carrying out the said research.

3. Definitions

For the purposes of these Guidelines, the information and data gathered from individual human subjects on their behavior, environment and physical and mental state (hereinafter referred to as "personal information") is defined as information or data pertaining to the thoughts, behavior, personal environment and physical state of the subject, and materials or data that is representative of or derived from people, (blood, bodily fluids, tissue, cells, genes or excreta etc.)

(1) "Providers" are those who provide their information and data for the purposes ofresearch.

(2) "Personal information" refers to information pertaining to an individual, including their name and date of birth, or other entries that allow the individual to be identified, including details that when simply matched against other information, allows a specific individual to be identified (Nanzan University Regulations Governing the Protection of Personal Information, Article 2).

4. Responsibility of Researchers to Explain

When gathering personal information and data on subjects, researchers must giveprior explanation to the providers, in easily understandable terms, of the research plan,including such things as the goals of the research and the method of the release of its results.In gathering personal information and data on subjects, if any kind of physical, mental burden or pain or risk can be foreseen for the provider, the researchers must explain this in easily understandable terms at the earliest possible juncture.

5. Informed Consent

Researchers must obtain the prior consent of the providers when gathering personal information and data.

(1) The Consent of the Providers will include details such as the handling of personal information and data (how it will be managed, period of storage, method of disposal etc.) and the method of release of research results.

(2) Researchers must disclose the personal information or data to a provider when requested to do so by that person.

(3) When the researchers judge that the provider is not capable of giving consent, they must obtain consent from someone who can represent the provider.

(4) As a rule, the consent of the provider shall be obtained in writing. If any kind of physical, mental burden or pain or risk can be foreseen for the provider, consent must be obtained in writing. The researcher must store the records pertaining to suchconsent for an appropriate period of time.

(5) If the provider withdraws their consent, the researchers must destroy the information and data gathered from that person.

(6) Researchers must destroy all personal information and data gathered as soon as their research is completed. However, in situations in which it is expected that researchers may subsequently be requested to disclose information, based on (2) above, personal information or data that allows an individual to be identified must be stored for five years.

(7) In the event that researchers wish to use personal information and data gathered beyond the end of the research project in question, they must first request permission from the Nanzan University Research Screening Committee, and then explain the situation to, and gain permission from, the provider(s).

6. Commissioning Third Parties

When researchers commission third parties to gather personal information or data,they must enter into a contract based upon the content of these Guidelines.

When providers request from the researcher an explanation of such matters as theaims of the research, this must be given directly by the researcher.

7. Gathering Information in Classes etc.

When teaching staff request personal information and data for research purposes from students in the classes, seminars, practical skill-training sessions, laboratory classes or practical sessions and educational sessions they must obtain the prior consent of the students involved.

Teaching staff must not in any way disadvantage students in terms of grades becausepersonal information was either provided or withheld.

8. Storage of Personal Information and Data etc.

(1) When storing personal information and data etc., researchers must manage it with care, anonymizing it to the greatest extent possible. Furthermore, personal information and data etc. that no longer needs to be stored must be disposed of inan appropriate manner.

(2) The period that personal information and data etc. is stored must be in keeping with the provisions of the guidelines for storage of research data.

9. Screening of Research Plans

At Nanzan University, implementation plans for research and plans for the release of results by researchers involved in research (hereinafter refereed to as research plans etc.) involving human subjects are screened by the Nanzan University Research Screening Committee (hereafter referred to as the Committee on the basis of the submission of an application from the researcher/applicant providing the research plan and other relevant materials. Screening is carried out pursuant to Article 2 Clause 4 of the

Nanzan University Regulations for Research Screening. Depending upon the importance ofthe research content, the screening will either be carried out straightaway with an abbreviated process or through the full process. Normally, a small number of Committee members are appointed by the Committee Chairperson to carry out the screening straightaway, with their decision conveyed to the applicant and a report submitted to the Committee. The full Committee will pass judgment on cases in which research content is deemed to be of particular importance, for which the screening is not able to be carried out straightaway.

However, research that is not judged to pose any major ethical problems and meetsany one of the following criteria is not required to apply for ethical screening.

(1)Research that only uses data gathered through surveys carried out based upon legal regulations.

(2)Research that only uses information derived from material through which theidentity of the subjects can no longer be traced.

(3)Research by people sent for training from organizations such as local government bodies, that only uses materials related to the person's own area of responsibility in a form in which the identity of the subjects within the University can no longer be traced.

10. Administration

Research Promotion Office within the Division of Educational and Research Administration will administer the Guidelines.

11. Revisions

Any amendments to or deletions from these Guidelines must be made with theapproval of the University president, after being considered by the Research Screening Committee and the Faculty Senate.

Supplementary Provision
These Guidelines come into force from April 1, 2007.
Supplementary Provision
These Guidelines come into force from April 1, 2009.
Supplementary Provision
These Guidelines come into force from December 1, 2009.
Supplementary Provision
These Guidelines come into force from April 1, 2015.
Supplementary Provision
These Guidelines come into force from April 1, 2017.
Supplementary Provision
These Guidelines come into force from October 1, 2018.
Supplementary Provision
These Guidelines come into force from April 1, 2021.
Supplementary Provision
These Guidelines come into force from April 1, 2025.

**Guidelines for the Storage etc. of Research Data at Nanzan University**

Based upon Article 7 Part 2 of the Code of Conduct for Nanzan University Research Activities, these guidelines determine the necessary details regarding the period of storage etc. of research data at Nanzan University.

(Definitions)
Article (1) For the purposes of these Guidelines, "research data" is deemed to refer to data generated by research activities and will include research results in papers or reports given below that are published in journals. This data is required to verify and explain the research activities in question.

1. Written materials (including notes etc. from experiments) numerical data, visual materials etc.
2. Materials used in experiments, samples etc. as well as models and apparatus).

(2) For the purposes of these Guidelines, the term "researchers" is deemed to refer to full-time tenured staff and others engaged in research at the University. When students are engaged in research activities, they are included in the definition of "researchers."

(Storage of Research Data)
Article (2) With regard to research activities typified by experiments and various observations, researchers are expected to create records of the process involved in the form of experiment notes etc. Experiment notes etc. should include sufficient information, including a log of the operations carried out and the conditions under which the data was acquired, to allow for subsequent use and verification. They must be taken in a manner that does not allow for any subsequent changes.
(2) Experiment notes etc. must be stored appropriately as a record of the primary information gained through the research activities.
(3) Papers, reports etc., and materials that serve as the basis of the publication of research results must be stored in an appropriate form that allows for subsequent use and verification. It should be noted that, when stored, these must be able to be searched and referred to.
(4) With regard to the specific method of storage, it is acceptable for the faculty or graduate school to determine to determine this depending on the nature and shape etc. of the research data.
(5) With regard to data that has ethical considerations involved, such as personal data with legal constraints on it, or other restrictions due to contractual arrangements, such regulations, contracts or guidelines are to be adhered to. In addition, with regard to the handling of results of specific research projects, if the organization providing funding has put protocols in place these are to be adhered to.

(Period of Storage)
Article (3) The period of storage for materials shall, as a general rule, be set at ten years from the date on which the research was published. With regard to digitalized data, metadata shall be appropriately organized, backed-up and stored in a re-usable form. Furthermore, it is preferable that paper-medium materials be stored for at least ten years, but in cases for example when storage space is limited it is also acceptable to dispose of the material at a logical and appropriate stage.
(2) Materials or samples used in experiments, models or apparatus shall be stored for five years after the date of publication of the research results. However, this would not apply in the case that storage is problematic (eg: unstable materials, materials that were consumed within the experiments themselves), or for materials for which the cost (maintenance or personnel cost etc.) of storage would be prohibitive (eg: biological materials).

(Researchers' responsibilities and the handling of resignations and retirements etc.)
Article (4) The responsibility for storing research data shall be with the researcher who generated the data. The stipulations in these Guidelines must be adhered to even in the case in which the researcher resigns, graduates or otherwise finishes at Nanzan University (hereinafter referred to as "finishes"), thereby no longer belonging to Nanzan.
(2) When a researcher finishes, the faculty or graduate school etc. to which he or she belongs will

confirm the location of the research data that the researcher in question is required to be storing and take measures to ascertain the contact details of the researcher for after he or she finishes at Nanzan to ensure that he or she is contactable.

(Administration)
Article (5) The administration of these Guidelines shall be carried out by the Research Promotion Office

(Amendments or deletions to the Guidelines)
Article (6)
Any amendments to or deletions from these Guidelines must be made with the approval of the University president, after being considered by the Research Screening Committee and the Faculty Senate.

Supplementary provision

These Guidelines came into force from 1 October, 2016.

Supplementary provision

These Guidelines came into force from 1 April, 2021.

Supplementary provision

These Guidelines came into force from 1 April, 2025.

# Nanzan University Regulations Concerning Research Misconduct

(Objectives)

**Article 1** These regulations determine the measures etc. to be taken in the case that misconduct occurs in the research activities undertaken at Nanzan University (hereinafter referred to as "the University") and by doing so, aim to prevent such misconduct by any of the people involved in research.

(Definitions)

**Article 2** In these regulations, the term "research activities" refers to all research activities carried out using public research funding from external sources such as scientific research subsidy funding (hereinafter collectively referred to as "public funding") and funding provided by the University. However, the disbursement and administration of public fundingis determined separately.

(2) In these regulations, "researchers" shall mean researchers who are currently carrying outthe research referred to the previous clause in the University or were when they belonged to the University.

(3) In these regulations "misconduct" refer to the behaviors listed below that are either intentional or occur as the result of a significant lack of the basic level care that is expectedof a researcher.

1. Specific acts of misconduct in research activities.
   (1) fabrication: creating data or research results that do not exist.
   (2) falsification: Manipulating research results, equipment or processes to create dataor research results that are not authentic.
   (3) plagiarism: Using other researchers' ideas, analysis or mode of analysis, research results, theses or terminology without the other researcher's permission or without appropriate acknowledgement.
2. Other types of research misconduct
   (1) Duplicated submission: Submitting a paper that has already been published to an academic journal etc. or submitting a paper that is essentially the same in content to one that is being submitted elsewhere.
   (2) Inappropriate authorship: The author of the paper is no fairly made public.
   (3) Divulgence of research results: Divulging the unpublished research results,writings or intellectual property to an outside party without that researcher's knowledge.
3. Misconduct related to the use of research funding.
4. Destruction of or obstructing the presentation of evidence related to the behaviors listed above.

(4) The necessary provisions concerning the misconduct in the use of research funding regulated in clause 3. above are determined separately.

(Chief Administrator )

**Article 3** The chief administrator of these regulations shall be the Presidentof the University.

(2) The Chief Administrator shall bear ultimate responsibility for and authority over the prevention of research misconduct.

(Controlling Administrator)

**Article 4** The Controlling Administrator shall be the Vice President for Research and the Support of Education.

(2) The Controlling Administrator shall assist the Chief Administrator and possess responsibility and authority for the prevention of research misconduct throughout the University.

(Initiatives to prevent misconduct from occurring)

**Article 5** The Chief Administrator must implement the following initiatives inorder to prevent research misconduct.

1. The clarification of burden sharing and responsibilities of individual researchersinvolved in joint research.
2. A system in which a research leader is placed in a position to be able to comprehendthe overall research situation when several researchers are involved and thereby to appropriately confirm research results.
3. Create an environment in which young researchers are given appropriate advice to enable them to pursue independent research.
4. Make it compulsory for researchers to undergo research ethics education.
5. Make it compulsory for researchers to store research data for a certain period of timeand to disclose at as required.

(Research Ethics Education)

**Article 6** With regard to improving the ethics of researchers, peopleresponsible for ethics education shall be put in place. This role shall be assumed by officials such as deans of faculties.
(2) The people responsible for ethics education will cooperate with the Compliance Office andmust implement research ethics education to all of the researchers in their charge.
(3) The people responsible for ethics education must report on the situation referred to in the previous clause to the Controlling Administrator.

(Approaches)

**Article 7** A department shall be set up in the Research Promotion Office to handle approaches from both inside and outside the institution regarding research misconduct.
(2) The Head of Research Promotion Office shall be in charge of handlingapproaches.
(3) The process for accepting approaches shall be determined separately.

(Reports)

**Article 8** In terms of the standpoint of the Office of the President and the protectionof informants who report cases of misconduct, the department set up to receive reports on misconduct and to provide information (hereinafter referred to as the “reports department”) will be overseen in a third party organization outside of the University.
(2) The reports department shall carry out the following duties.

1. Receive reports of misconduct
2. Coordinate reports of misconduct and information provided
3. Receive objections
4. Notify informants of the results of investigations and the judgment on the case

(3) The process for accepting reports shall be determined separately.

(Investigation)

**Article 9** In the case that misconduct in research carried at NanzanUniversity occurs, the Chief Administrator will organize the Nanzan University Research Misconduct Investigation Committee (hereinafter referred to the Investigation Committee).
(2) The nature of the Investigation Committee shall be determined separately.

(Amendments to these Regulations)

**Article 10** Amendments to these regulations must be approved by the FacultySenate.

Supplementary provision
These Regulations come into force from 1 April, 2016

Supplementary provision
These Regulations come into force from 1 April, 2020

Supplementary provision
These Regulations come into force from 1 April, 2021

Supplementary provision
These Regulations come into force from 1 April, 2025

# 公的研究費の管理・監査のガイドラインに基づく本学の体制＜組織図＞ 2025年4月1日更新

（最高管理責任者）
学長

（統括管理責任者）
副学長（研究推進・教育支援）

【コンプライアンス教育部署】
コンプライアンス室長

【機関内外からの通報受付部署】
学長室長
（通報受付責任者）
学長室員
（通報受付担当者）

経営本部
連携

弁護士等

学外第三者機関

学部長等
（ｺﾝﾌﾟﾗｲｱﾝｽ推進責任者）
教育職員（研究者）

【発注・事実確認部署】

学事第一課長等
（発注・事実確認責任者）

学部等事務室
（発注・事実確認担当者）

【防止計画推進部署】
【執行確認部署】
【機関内外からの相談受付部署】

研究推進課長
（防止計画推進責任者）
（執行確認責任者）
（相談受付責任者）
研究推進課員
（防止計画推進担当者）
（執行確認担当者）
（相談受付担当者）

【納品検収部署】
（納品検収責任者）

補助金課長

総務・人事部長
（公的研究費監査責任者）
総務課長
総務課第二係長
（公的研究費監査担当者）

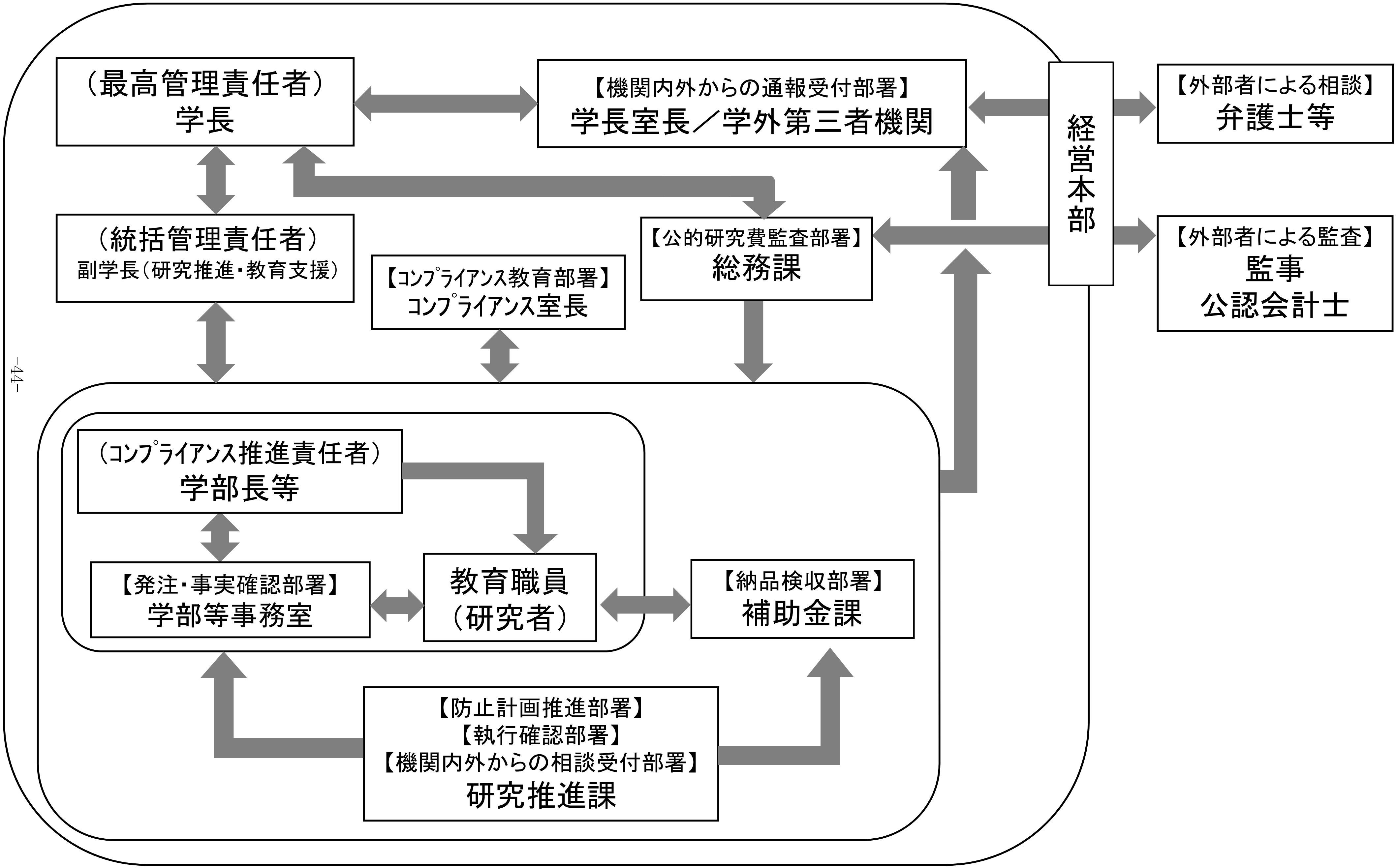
【監事および外部者による監査】

経営本部
連携

監事
公認会計士

## 公的研究費の管理・監査のガイドラインに基づく本学の体制＜相関関係図＞

2025年4月1日更新



Nanzan University Regulations Governing the Management of Public Research Funding

(Objectives)
**Article 1** These regulations are based upon the mission of Nanzan University(hereinafter referred to as "the University," and refer to the research activities of University educational and administrative staff (hereinafter referred to as University staff"). The objective of the regulations is to strengthen the management system designed to prevent improper use of public research funding (hereinafter referred to as "public research funding"), to formulate ethical and socialresponsibilities to cover that, and to promote and support appropriate research.

(Scope of Application)
**Article 2** The management of public research funding for research activities carried outby University staff shall be determined by these regulations unless separate regulations determine otherwise.

(Chief Administrator)
**Article 3** The chief administrator of these regulations shall be the President of theUniversity.
(2) The Chief Administrator shall bear ultimate responsibility for and authority over the managementof public research funding.
(3) The Chief Administrator shall, in addition to ensuring that these and other related rules are known,will implement the necessary measures to ensure that there is appropriate use and management of public research spending.
(4) The Chief Administrator shall raise the awareness of staff by regularly conducting various compliance education activities to prevent misconduct.

(Controlling Administrator)
**Article 4** The Controlling Administrator shall be the Vice President for Research and the Support of Education.
(2) The Controlling Administrator shall assist the Chief Administrator in the management of public research funding and possess actual responsibility and authority for overseeing the University-wide situation.
(3) The Controlling Administrator shall formulate and implement a specific plan etc. to prevent misconduct in the use of research funding and shall report those details to the Chief Administrator.

(People in charge of promotion of compliance)
**Article 5** The people in charge of promotion of compliance regarding the researchactivities of University academic staff shall be the faculty deans, the heads of the Graduate School of Law, the directors of the Center for Teacher Education, the Foreign Language Education Center, the Center for Information and Communication Technology, the Physical Education Center, the Center for International Affairs, Director of the Health Center and the chairperson of the Research Institute Committee. The relevant director shall be in charge of the research activities of University administrative staff.
(2) The people in charge of promotion of compliance shall assist the Controlling Administrator in the management of public research funding in the faculties etc. and shall possess the followingresponsibilities and authority:

1. Implement policies in the faculties etc. in order to prevent misconduct and periodically report to the Controlling Administrator.
2. In order to prevent misconduct, in cooperation with the Compliance Office, carry out compliance education for all staff involved in the use and management of public research fundsin the faculties etc., and manage and supervise attendance of sessions held.
3. Regularly carry out compliance education in the faculties etc. that are timed to fit in with university-wide initiatives.
4. In the faculties, to monitor and where necessary offer guidance where necessary to ascertain whether or not staff are managing public research funds appropriately.

(Ordering)

**Article 6** An ordering department shall be set up to order goods, and as a general rulethe ordering of goods shall be carried out by this department.
(2) The ordering department shall operate under the auspices of Student Affairs Office, Office of the Center for International Affairs, Office of the Center for Information and Communication

Technology, Research Promotion Office, Faculty and Graduate School Affairs Office No. 1 and Faculty and Graduate School Affairs Office No. 2

(3) The ordering department shall have a staff member responsible for order in, with Administrative Director of the Student Affairs Office, Head of the Office of the Center for International Affairs, Head of the Office of the Center for Information and Communication Technology, Administrative Director of the Research Promotion Office, Administrative Director of the Faculty and Graduate School Affairs Office No. 1 and Administrative Director of the Faculty and Graduate School Affairs Office No. 2 assuming that role. The person responsible for ordering will assist the person in charge of the promotion of compliance, andwill have responsibility for and authority over the placing of orders using public research funding.

(4) The process to be used for placing orders shall be determined separately.

(Verification of facts)

**Article 7** A verification of facts department shall be set up to confirm the veracity ofinformation supplied regarding travel costs and payments made to people.

(2) The verification of facts department shall operate under the auspices of Student Affairs Office, Office of the Center for International Affairs, Office of the Center for Information and Communication Technology, Research Promotion Office, Faculty and Graduate School Affairs Office No. 1 and Faculty and Graduate School Affairs Office No. 2.

(3) The verification of facts department shall have a staff member responsible for verification of facts with the Administrative Director of the Student Affairs Office, Head of the Office of the Center for International Affairs, Head of the Office of the Center for Information and Communication Technology, Administrative Director of the Research Promotion Office, Administrative Director of the Faculty and Graduate School Affairs Office No. 1 and Administrative Director of the Faculty and Graduate School Affairs Office No. 2 assuming that role..The person responsible for verification of facts will assist the person in charge of the promotion of compliance, and will have responsibility for and authority over verification of facts related to the useof public research funding.

(4) The process to be used for verification of facts shall be determined separately.

(Receipt and Inspection)

**Article 8** When purchasing fixed assets or other goods, appropriate checks are requiredto verify the nature of what is being purchased. To that end, a receipt and inspection department shall be set up to carry out those tasks.

(2) The receipt and inspection department shall operate under the auspices of the Grants Office.

(3) The receipt and inspection department shall have a staff member responsible for verification offacts with the Administrative Director of the Grants Office assuming that role.

(4) The process to be used for receipt and inspection shall be determined separately.

(Confirmation of process)

**Article 9** In order to confirm the process involved with orders, deliveries, receipts and inspections involving the use of public research funding, a department shall be set up to confirm what has occurred.

(2) The confirmation of process department shall operate under the auspices of the Research Promotion Office.

(3) The confirmation of process department shall have a staff member responsible for confirmationof process with the Administrative Director of the Research Promotion Office assumingthat role. The person responsible for confirmation of process shall assist the Controlling Administrator and will have responsibility for and authority over confirmation of process related to the use of public research funding.

(4) The confirmation of process for receipt and inspection shall be determined separately.

(Promotion of planning to prevent misconduct)

**Article 10** In order to promote the prevention of misconduct involving the use of publicresearch funding a department shall be set up to that end.

(2) The Research Promotion Office shall be in charge of overseeing the department set up to prevent misconduct involving the use of public research funding.

(3) In the department set up to prevent misconduct involving the use of public research funding thereshall be a person responsible for the prevention of such improprieties. The Administrative Director of Research Promotion Office shall assume that role. The person responsible for the

prevention of such misconduct shall serve as an assistant to the Controlling Administrator and willhave responsibility for and authority over planning of measures to prevent misconduct.
(4) The process to be used for promoting the plan to prevent misconduct shall be determined separately.

(Auditing)
**Article 11** In order to appropriately administer public research funding, an auditingdepartment of Public Research Funding will be set up that is overseen directly by the Chief Administrator.
(2) The auditing department shall comprise the following people:
a.) Chief of the General Affairs & Personnel Division
b.) Head of the General Affairs Office
c.) Head of the Section No. 2 in the General Affairs Office d.) Others
as approved by the Chief Administrator as being required
(3) The auditing department of Public Research Funding shall have a person responsible for the auditing and that role shall be assumed by the Chief of the General Affairs & Personnel Division. The person in charge of the auditing departmentshall have actual responsibility for and authority over the auditing process.
(4) In addition to checking the financial information such as the various accounting documentation protocols, the auditing department will also check that an effectively functioning monitoring system exists in the institution as a whole.
(5) The auditing process shall be determined separately.

(Approaches from both inside and outside the institution and the receipt of reports of cases of misconduct)
**Article 12** With regard to the procedure for administering government research fundingand the rules concerning the use of competitive funding, in order to accept approaches from inside and outside the institution and to receive reports of cases of misconduct a department will be set upto deal with consultation from both inside and outside the institution and another for the receipt of reports of cases of misconduct.
(2) The Research Promotion Office shall be in charge of the department set up to oversee approaches and reports of cases of misconductfrom both inside and outside the institution. In addition, in terms of the standpoint of the Office of the President and the protection of people who report cases of misconduct, the department to receive such reports from both inside and outside the institution will be overseen in a third party organization outside of the University.
(3) The department that accepts approaches from both inside and outside the institution and the department that takes receipt reports of cases of misconduct shall respectively have someone responsible for accepting approaches and someone responsible for accepting such reports. The person responsible for accepting reports of misconduct shall support the Chief Administrator, and shall bearreal responsibility for and authority with regard to approaches and reports from both inside and outside the institution.
(4) The process for accepting approaches and reports from both inside and outside the institution shallbe determined separately.

(Investigation)
**Article 13** In the case that misconduct has occurred in research carried out at NanzanUniversity, the Chief Administrator will organize the Nanzan University Research Misconduct Investigation Committee (hereinafter referred to the Investigation Committee).
(2) The nature of the Investigation Committee shall be determined separately.

(Amendments to these Regulations)
**Article 14** Amendments to these regulations must be approved by the Faculty Senate.

Supplementary provision
These Regulations come into force from November 11, 2007.
Supplementary provision
Amendments to these Regulations came into force from April 1, 2016.
Supplementary provision
Amendments to these Regulations came into force from April 1, 2017.
Supplementary provision
Amendments to these Regulations came into force from April 1, 2020.
Supplementary provision
Amendments to these Regulations came into force from April 1, 2021.

Supplementary provision

Amendments to these Regulations came into force from April 1, 2022.

Supplementary provision

Amendments to these Regulations came into force from April 1, 2025.

**Plan to Prevent Misconduct Regarding Nanzan University Public Research Funding**

At Nanzan University, in keeping with Article 10 of the Nanzan University Regulations Governingthe Management of Public Research Funding, the following plan to prevent misconduct is put in place to facilitate the appropriate management and administration of public research funds.

1. Clarification of system of responsibility

<table>
<tr><th>Specific Initiatives</th></tr>
<tr><td>
Put an explanation of responsibilities on the Webpage in which the regulations are consolidated andclarified<br><br>
<Chief Administrator: President of the University><br>
・Has ultimate responsibility for and authority over the administration of public research funding inthe University.<br>
・Will ensure that relevant people understand the regulations and that the necessary measuresare put in place regarding the use and administration of public research funding.<br>
・To prevent misconduct, raise awareness among staff by carrying out a range of compliance education activities at regular intervals<br><br>
<Controlling Administrator: Vice President for Research and the Support of Education ><br>
・The Controlling Administrator shall assist the Chief Administrator in the management of public research funding and possess actual responsibility and authority for overseeing the University-widesituation.<br>
・ The Controlling Administrator shall formulate and implement a specific plan etc. to prevent misconduct in the use of research funding and shall report those details to the Chief Administrator.The Controlling Administrator shall assist the Chief Administrator in the management of public research funding and possess actual responsibility and authority for overseeing the University-widesituation.<br><br>
<People in charge of promotion of compliance: the faculty deans, the heads of the Graduate School of Law, the directors of the Center for Teacher Education, the Foreign Language Education Center, the Center for Information and Communication Technology, the Physical Education Center, the Center for International Affairs, Director of the Health Center and the chairperson of the Research Institute Committee><br>
・The people in charge of the promotion of compliance shall assist the Controlling Administrator in the management of public research funding in the faculties etc. and shall possess the following responsibilities and authority:<br>
1. Implement policies in the faculties etc. in order to prevent misconduct and periodically reportthe situation to the Controlling Administrator.<br>
2. In order to prevent misconduct, in cooperation with the Compliance Office, carry out compliance education for all staff involved in the use and management of public research funds in the faculties etc., and manage and supervise attendance of sessions held.<br>
3. Regularly carry out compliance education in the faculties etc. that are timed to fit in with university-wide initiatives.<br>
4. In the faculties, to monitor and where necessary offer guidance where necessary toascertain whether or not staff are managing public research funds appropriately.<br><br>
<Department to prevent misconduct: The Research Promotion Office ><br>
・Promote the plan to prevent misconduct.
</td></tr>
</table>

2. Create an environment conducive to appropriate management and administration

| Item | Causes of misconduct | Specific Initiatives |
|---|---|---|
| Improve awareness of misconduct | ・The level of consciousness is low regarding the fact that public research funds come from the taxes paid by the people of Japan. | ・Put the Code of Conduct for Nanzan University Research Activities on the University website.<br>・Put the Code of Conduct for Nanzan University Research Activities in the Research Funding Handbook and |

| | | |
|---|---|---|
| | ・Lack sufficient understanding as to what constitutes misconduct.<br>・While lifting the level of awareness among administrative staff towards public research funds is also required, that point is not fully understood.<br>・ Initiatives designed to raise awareness among administrative staff as well as research staff have not been carried out.<br>・Research staff do not understand the punishment incurred for misuse of funds. | distribute that to teaching staff.<br>▪ Require all teaching staff and administrative staff etc. involved in the management and administration of public research funding to undertake and complete the course of e-learning teaching materials provided by the APLIN.<br>▪ Have all teaching staff and administrative staff etc. involved in the management and administration of public research funding submit a written pledge stating that they will not commit misconduct.<br>・The chief administrator explains the results of internal audits, monitoring and the situation regarding adjustments to implementation of the public research funds system.<br>・The people in charge of the promotion of compliance will, within Faculty Council meetings etc., explain the results of internal audits, monitoring and the situation related to adjustments to implementation of a system regarding public research funds.<br>・Ensure that the results of internal audits, monitoring and examples of improper use of public research funds are explained at Grants-in-Aid for Scientific Research explanatory sessions organized by the chief administrator and at Grants-in-Aid for Scientific Research application sessions. |
| Clarify and standardize the rules | ・Within the University, some parts of the rules for use of public research funds and other types of research funds are different. Researchers do not have an accurate understanding of the differences.<br>・ There are occasions when some researchers operate according to their own interpretation of what should be done. | ・Create a “Manual for Administering Projects Involving SubsidyFunding for Scientific Research” and distribute it to relevant teaching staff.<br>・Put the “Manual for Administering Projects Involving SubsidyFunding for Scientific Research” on the University website.<br>・Every May carry out a “Grants-in-Aid Explanatory Session.” Ensure that staff are properly informed of by putting it on the calendar for dates of academic conferences. |

3. Be aware of the causes of misconduct and formulate and implement a plan to prevent it

| Item | Causes of misconduct | Specific Initiatives |
|---|---|---|
| Develop a plan to prevent misconduct | ・The intent of the Plan to Prevent Misconduct is not reflected in ongoing research activities. | ・Ascertain the causes of misconduct from the results of an internal audit or monitoring and make adjustments |

| | | |
|---|---|---|
| | | to the plan to prevent misconduct. |
| Implement the plan to prevent misconduct | ・The detail of the plan to prevent misconduct is not understood by all staff. | ・In the University Faculty Senate, the Controlling Administrator shall explain the Plan to Prevent Misconduct to the people responsible for the promotion of compliance.<br>・The people responsible for the promotion of compliance shall explain the Plan to Prevent Misconduct to the members of the faculty meetings etc. |

4. Appropriate management and administration of public research funding

| Item | Causes of misconduct | Specific Initiatives |
|---|---|---|
| Assessing and verifying the situation regarding use of funds | ・The purchase of large amounts of items is concentrated on a specific period, the end of the financial year, when budgets are being executed.<br>・Researchers think that they must use up all available research funds. | ・Based upon the nature of the research plan, periodically assess the situation regarding use of the research funding, and request submission of a plan indicating the use of the funding.<br>・If the execution of funds is particularly poor, provide explanations of the system for carrying over or returningresearch funds. |
| Appropriate dealings with suppliers | ・The method of ordering (the person ordering) differs according to the item, but there are researchers who do not understand this.<br>・The situation regarding the delivery of some of the items is unknown.<br>・Companies send goods directly to the researcher, unaware that this constitutes misconduct.<br>・There are companies that consciously engage in misconduct. | ・Ensure that teaching staff are completely aware that orders other than for books are to be carried out by administrative staff belonging to the faculty office etc.<br>・With regard to items being purchased, ensure that inspections are always carried out by the staff in charge of inspections andmake sure that the suppliers selling the goods are thoroughlyaware of this.<br>・Ensure that suppliers are aware of the “Business Dealing Standards regarding Suspension of Dealings on a Goods Purchase Contract.”<br>・With regard to suppliers with whom there are frequent dealings, require them to submit a written pledge not to cooperate with improper accounting practices. |
| Verification of facts regarding research trips | ・The report on the research trip is too brief, meaning that the content cannot be confirmed.<br>・There are occasions when the | ・Request a report giving details of the research trip.<br>・With regard to trips that require accommodation, make it compulsory to acquire an accommodation |

| | | |
|---|---|---|
| | accommodation changes.<br>・ There are research trips that can be expensive, such as going overseas to lecture. | verification form.<br>• With regard to overseas trips, make to compulsory to submitcopies of the airline ticket. |
| Appropriate ordering and inspection upon receipt | ・ There are many cases in which orders are made without it being clear what the source of funds will be.<br>・ There are researchers who do not sufficiently understand the meaning of inspecting goods as part of the delivery procedures. | ・Require staff to submit order forms(発注連絡票 Hacchu-Renraku-Hyo)and order forms(発注依頼書 Hacchu-Irai-Sho),and hold explanatory meetings at the order stage to ensure that the source of funds to use to pay is specified.<br>・That all goods ordered by teaching staff are checked by administrative staff upon delivery.<br>・ When administrative staff check orders, if the find what seemsseems to be a questionable item, they check with the teaching staff member in question as to the aim of that purchase. |
| Appropriate management of employment of temporary staff etc. | ・There are researchers who try to administer attendance themselves. | ・Administrative staff in the faculty offices should administer the records of hours worked.<br>・Require such staff to submit reports giving details of their dailyduties. |

5. Establishing a system to secure information

| Item | Causes of misconduct | Specific Initiatives |
|---|---|---|
| Establishing and advising people of a point of contact for approaches and reports of misconduct | ・ There are researchers and administrative staff who do not know the point of contact regarding the discussion of issues related the use and management of research funds.<br>・There are researchers and administrative staff who do not know the point of contact regarding the discussion of issues related to the misuse of funds.<br>・ There are researchers and administrators who do not know the point of contact for reporting misconduct from inside or outside the University. | ・Inform people via the webpage or pamphlets. |

6. Enhancement of auditing

| Item | Causes of misconduct | Specific Initiatives |
| --- | --- | --- |
| Implement internal audits | ・The level of consciousness towards internal audits is low. | ・ Internal auditing department of Public Research Funding will work in conjunction with the department set up to promote a plan to prevent misconduct, testing the system and removing and reducing risk.<br>・Expand the number of regular and special audits<br>・Conduct unannounced audits |

## Guidelines for Research Ethics Education at Nanzan University

These Guidelines are based upon the Guidelines for Responding for Misconduct in Research (by the Ministry of Education, Culture, Sports, Science and Technology (MEXT)), Nanzan University Regulations for Misconduct in Research, and the Nanzan University Regulations for the Administration of Public Research Funds, and determine the requirements for research ethics education at Nanzan University (hereafter referred to as the "University".)

1. Method of implementation

The method of implementation is that offered by the e-learning program of the Association for the Promotion of Research Integrity (APRIN)

2. Intended audience

The following people are the intended audience:

(1) All fully tenured employees involved in education and visiting researchers.

(2) All fully tenured administrative staff workers (both fully-tenured and full-time contract workers) and all other administrative workers involved in research activities.

(3) Students enrolled at post-graduate level (masters, doctorate, vocationally oriented degree programs)

3. Courses available to take

The courses to be taken are given in Chart No. 1.

4. Timing of the courses

The timing of the courses shall be as given in Chart No. 1. From now, they shall be undertaken once every three years.

5. Exemption from taking the course

An exemption for taking the course shall be granted in the following cases.

(1) If the person has undergone a course in research ethics at a separate institution within the past three years and the content of that course matches that of the course specified by Nanzan University. However, in the third year since the person took that course in research ethics at a separate institution, he or she will take the course in research ethics offered by Nanzan University.

(2) If the Compliance Officer grants an application for exemption due to unavoidable reasons such as illness etc. that makes taking the course difficult.

6. Management of course attendees and course results

The management of those who attend the course in research ethics and of course results shall be carried out by the Compliance Office and the Research Promotion Office.

Supplementary provision
These Guidelines were implemented from 1 April 2022

Supplementary provision
Amendments to These Guidelines were implemented from 1 April 2025

Chart No. 1

| Course participant | Course | Course period |
|---|---|---|
| All fully tenured employees involved in education and visiting researchers (specially appointed, project and non-tenured) | Those taking the course should choose from JST Courses [Humanities (5 units)], [Science & Engineering (7 units)], [Life & Medical Sciences (7 credits)] | time of employment |
| All fully tenured administrative staff workers (both fully-tenured and full-time contract workers) and all other administrative workers involved in research activities | Abbreviated course (1 unit) | time of employment |
| Doctoral students enrolled in the Graduate School of Sciences and Engineering | JST Courses [Science&Engineering (7 units)] | time of matriculation |
| Doctoral students enrolled in a school other than the Graduate School of Science and Engineering | JST Courses [Humanities (5 units)] | time of matriculation |
| Post-graduate students enrolled at masters oriented degree programs | Abbreviated course (1 unit) | time of matriculation |

April, 2025

To: All Researchers and Research Support Personnel

Periodic Implementation of Research Ethics Education

In keeping with the Guidelines for Responding to Misconduct in Research adopted in 2014 by the Ministry of Education, Culture, Sports, Science and Technology, from the 2015 academic year, research ethics educationat Nanzan University has been provided once every three years using e-learning materials for full-time tenuredteaching staff, administrative staff who deal with public research funding and post-graduate students. Thoseundertaking it during the 2025 academic year will be advised as to the method etc. to be used and we request that you ensure that you undertake it by the date specified.

Details

All researchers affiliated with Nanzan University (#1) and research support personnel (#2) are required to refresh their understanding once every three years using the e-learning materials specified by the University. (Those who undertake the education in the 2025 academic year will be those who took it in the 2022 academic year).

Researchers (including those who are specially appointed, working on projects or are part-time researchers whose main duties are outside of Nanzan University or those who have no other main duties) should notify usif they have undergone the instruction through a different institution, but if they have not done so they should use the e-learning materials specified by Nanzan University.

Furthermore, those newly appointed researchers and newly employed research support personnel will undergo this instruction by e-learning at the time of their appointment and will be required to submit an oath regarding their adherence to the University's internal regulations and the undergoing of research ethics education.

(#1) Fully-tenured academic staff and researchers (including those who are specially appointed, working on projects or are part-time researchers whose main duties are outside of Nanzan University or those who have no other main duties.). This does not apply to non-tenured part-time instructors for whom research is not included in their job description. However, such people are included among researchers if they undertake research activities at Nanzan University that are supported by competitive funding.
(#2) All full-time tenured administrative staff (fully-tenured and limited full-time staff) and other administrativestaff etc. who are involved in research activities.

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(Reference) The following applies to post-graduate students and under-graduate students.

- In addition to what each of the graduate schools may carry out, post-graduate students (masters course, doctoral course, vocationally-oriented degree course) are required to undergo instruction upon enrolment using the e-learning materials specified by the University. Students who do not will be instructed by their academic advisor to ensure that they do.
- Under-graduate students: In addition to the research ethics education that under-graduate students receive when they enter their respective faculties, students enrolling to enter from the 2017 academic year onwards will, in their first year of studies, undergo education in research ethics through the required general education subject entitled "Information Ethics."

Taro Okuda Vice President for Research and the Support of Education

# Oath of Legalization

To the President of Nanzan University:

I,________________________________, hereby agree to “the Standards in ConductingResearch Activities of Nanzan University” in pursing research activities at Nanzan University and solemnly promise the following:

1 To follow and obey the regulations of Nanzan University

2 To not carry out illegal acts

3 To take the punishment and legal responsibilities required by the Public Research Fund Distributing Organizations and by Nanzan University if the regulations were violated and illegal acts were carried out.

______________________________________________

Signature

Affiliation ______________________________ Date ______________________________

**Research costs that fall within the range of commissioned research, joint research with off-campus entities, grant donations and research costs paid by research subsidy funding from private foundations etc.**

The scope of use of direct costs required in order to fulfil the aims of commissioned research, joint research with off-campus entities, grant donations and research subsidy funding from private foundations etc. shall be as follows:

| Category | Scope of use |
|---|---|
| Honoraria | Honoraria payments (including accommodation and travel expenses) for public lectures and guidance or advice (including invited guests), or payments to people who have collaborated on research. |
| Travel expenses | Travel expenses both within Japan and overseas of Nanzan University researchers and research collaborators for the purpose of their research (travel expenses in keeping with the Nanzan University travel expense regulations). |
| Consumable supplies expenses | Books that cannot be capitalized (cost of consumable books) and periodicals and journals etc. Research-related consumable supplies such as writing materials, photocopying within the University (including copy cards), photographs, computer software, audio materials etc. |
| Technical instruction expenses | Payments for technical instruction and advice to the researcher in question |
| Labor costs | Costs incurred through the temporary employment of research assistants etc. to support research activities. |
| outsourcing expenses | Outsourcing of services such as interpreting, translation, proofreading or surveys<br>※payments made to individuals for interpreting, translation, or proofreading etc. shall be viewed as honoraria payments. |
| Supplies expenses | Research supplies of a cost of between 50,000 and 200,000 yen for one item or set, and that will last for at least one year. |
| Equipment costs | Research equipment of a cost of at least 200,000 yen for one item or set, and that will last for at least one year. |
| Printing costs | Costs incurred for printing and binding of materials related to research activities. |
| Meeting costs | Costs incurred for food and drink provided in meetings etc. related to research activities.<br>※Within 1,000 yen (excluding tax) per person |
| Other expenses related to research activities | ･ Communication and freight costs such as stamps, courier fees etc.<br>･ Maintenance and repair costs of research apparatus such as computers.<br>･ Annual fees of research groups outside Nanzan University, plus their participation costs and the cost levied for organized social gatherings etc.<br>･ Charges incurred for access to data bases.<br>･ Expenses for services contracted out for data analysis etc.<br>･ Expenses for rental cars (and gasoline) used when on research-related trips.<br>･ Other expenses such as remittance fees, registered mail costs, and visa costs. |

Note:
With regard to the scope of use and accounting procedures, if there are requirements for commissioned research, joint research with off-campus entities, grant donations and research subsidy funding from private foundations etc. those requirements should be adhered to.

20 February 2009
Directors of University Administrative Affairs Meeting
Approval by the Vice President for Research and the Support of Education, dated 29 February 2024. Approval number（232998）

**Guidelines for the handling of indirect costs related to commissioned research, joint research with off-campus entities, grant donations and research subsidy funding from private foundations etc.**

1.Aim

Based on Clause No 6 of Article 5 of the Nanzan University Regulations on Commissioned Research and Clause No 7 of Article 6 of the Nanzan University Regulations on Grant Donations, the necessary stipulations for the handling of indirect costs concerning commissioned research, joint research with off-campus entities and grant donations will be determined by these guidelines. In addition, the necessary stipulations for the handling of indirect costs concerning research subsidy funding from private foundations etc. will be covered by these guidelines.

2. The ratio of indirect costs related to commissioned research and joint research with off-campus entities

Of the research funds received from sources outside the University based on contracts governing commissioned research contracts or joint research with off-campus entities, the indirect costs required to fulfil the research in question shall be 10 percent of the total.

On cases when the research funds received from outside sources exceed 500,000 yen, of the indirect costs, it is possible to apportion an amount minus 50,000 yen to the faculty or research institute to which the instructor in charge of the research is affiliated.

However, indirect costs incurred with regard to commissioned research and joint research with off-campus entities in the Faculty of Science and Technology, Graduate School of Sciences and Engineering and the Center for Science and Technology shall be calculated as 15% of the total amount. In addition, 10% of the cost of technical instruction shall be handled as indirect costs.

Also, if the ratio for handling of indirect costs is specified in regulations for commissioned research and joint research with off-campus entities, that should be adhered to.

3. Ratio of indirect costs related to grant donations

Of the amount donated to help promote the research of a specific instructor or education and research in a specific field, the indirect costs required to pursue the research of a specific instructor or the education and research in a specific field shall be calculated as 10% of the total.

If the amount donated exceeds 500,000 yen, of the indirect costs within the donated amount, it is possible to apportion an amount to minus 50,000 yen to the faculty or research institute to which the instructor in charge of the research is affiliated.

However, with regard to grant donations to instructors in the Faculty of Science and Technology, Graduate School of Sciences and Engineering and the Center for Science and Technology, indirect costs shall be handled as 15% of the total amount.

Furthermore, if the person making the donation must abide by regulations that specify a fixed percentage for indirect costs, that should be adhered to.

4. Percentage of indirect costs related to research grants for private foundations

Of the research costs that are based on research support from private foundations, the percentage of indirect costs required to pursue the research in question shall be determined in accordance with “3. Ratio of indirect costs related to grant donations”.

5. accounting

After payment to the University accounts, and after indirect costs are subtracted, the research budget for the person in question shall be determined through application made by the person in charge of the research or the person receiving a grant donation. Budgetary management that is mixed with other research funds will not be permitted.

However, apart from indirect payments for technical instruction, indirect costs incurred in the Faculty of Science and Technology, Graduate School of Sciences and Engineering and the Center for Science and Technology are handled as operational costs of the Center for Science and Technology.

Supplementary provision

These guidelines became applicable on 1 April 2005.

Supplementary provision

Amendments to these guidelines became applicable on 1 July 2006.

Supplementary provision

Amendments to these guidelines became applicable on 1 September 2010.

Supplementary provision

Amendments to these guidelines became applicable on 1 April 2016.

Supplementary provision

Amendments to these guidelines became applicable on 1 April 2024.

# 研究機関における公的研究費の管理・監査の
# ガイドライン（実施基準）

平成１９年２月１５日

（令和３年２月１日改正）

文部科学大臣決定

# 研究機関における公的研究費の管理・監査のガイドライン（実施基準）

平成１９年２月１５日<br>
文部科学大臣決定<br>
平成２６年２月１８日改正<br>
令和３年２月１日改正

## はじめに

**（本ガイドラインの目的と改正の背景）**

本ガイドラインは、平成１９年２月に、文部科学省又は文部科学省が所管する独立行政法人から配分される競争的資金を中心とした公募型の研究資金について、配分先の機関がそれらを適正に管理するために必要な事項を示すことを目的として策定されたものである。

ガイドライン策定後、平成２６年２月に「公的研究費の適正な管理に関する有識者会議」における議論を踏まえて新たな内容を加える改正を行い、各機関においてガイドラインに基づく管理・監査体制の整備が進んだことにより、取引業者等を介した不正事案は顕著に減少した。

しかしながら、謝金・給与や旅費等に係る不正事案は増加傾向にあるなど、研究費不正は依然として様々な形で発生している。その主な要因としては、不正防止の PDCA サイクル<Plan（計画）・Do（実施・実行）・Check（点検・評価）・Action（改善）>の形骸化、組織全体への不正防止意識の不徹底、内部牽制の脆弱性等が挙げられる。

今回の改正は、依然として研究費不正が発生している要因を踏まえ、①ガバナンスの強化、②意識改革、③不正防止システムの強化の３項目を柱として不正防止対策を強化するとともに、これまでの各機関の取組状況も考慮しつつ、より実効的な取組を促すために従前のガイドラインの記述のさらなる具体化・明確化を図るものである。

各機関では、その性格や規模を踏まえ、創意工夫ある体制整備を進めてきた現状の取組について、本ガイドラインの改正点を取り込み、PDCA サイクルを徹底すると同時に、情報発信も含めた透明性の確保・向上、及び競争的研究費等の運営・管理に関わる全ての構成員の不正防止に向けた意識の向上と浸透を図ることにより、より実効性ある取組が一層推進されることを強く期待する。

文部科学省では、今後も各機関の取組状況や本ガイドラインの運用を通じて、機関の実態に即した、現実的かつ実効性のあるガイドラインになるよう見直しを行っていくこととする。

（適用）
　第１節から第６節までについては、機関において、令和３年度中に、順次、各節に係る取組を行うこととし、第７節、第８節については、平成２６年度当初予算以降（継続も含む。）における競争的研究費等を対象とし、文部科学省、配分機関において、両節に係る措置等を行うこととする。

（用語の定義）
　本ガイドラインにおいて用いる用語の定義について示す。

（１）競争的研究費等
　文部科学省又は文部科学省が所管する独立行政法人から配分される競争的資金を中心とした公募型資金。

（２）機関
　上記（１）の競争的研究費等の配分を受ける全ての機関（大学、高等専門学校、大学共同利用機関、独立行政法人、国及び地方公共団体の試験研究機関、企業、公益社団法人、公益財団法人、一般社団法人、一般財団法人、特例民法法人等）。

（３）配分機関
　上記（２）の機関に対して、上記（１）の競争的研究費等を配分する機関（文部科学省※1、文部科学省が所管する独立行政法人）。

（４）監事
　大学等における監事又は企業における監査役等、上記（２）の機関の業務を監査する者。監事又は監査役を置かない機関においては、監査に相当する職務を果たしている者。

（５）構成員
　上記（２）の機関に所属する非常勤を含む、研究者、事務職員、技術職員及びその他関連する者。

（６）不正
　故意若しくは重大な過失による競争的研究費等の他の用途への使用又は競争的研究費等の交付の決定の内容やこれに付した条件に違反した使用。
　また、研究活動に関係する不正については、上記のほか、研究活動における不正行為（ねつ造、改ざん、盗用等）も挙げられるが、これらについては、「研究活動における不正行為への対応等に関するガイドライン」※2において、それぞれの機関が整備すべき事項等が示されている。体制整備等においては、共通的事項も含まれているが、それぞれのガイドラインを踏まえ、対策を講じることが必要である。

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※1　配分機関における文部科学省は、各競争的研究費等を所管する課室を示す。
※2　「研究活動における不正行為への対応等に関するガイドライン」（平成２６年８月２６日文部科学大臣決定）https://www.mext.go.jp/a_menu/jinzai/fusei/index.htm

（７）コンプライアンス教育

不正を事前に防止するために、機関が競争的研究費等の運営・管理に関わる全ての構成員に対し、自身が取り扱う競争的研究費等の使用ルールやそれに伴う責任、自らのどのような行為が不正に当たるのかなどを理解させることを目的として実施する教育※3（具体的な内容については、第２節１の「実施上の留意事項」②を参照）。

（８）啓発活動

不正を起こさせない組織風土を形成するために、機関が構成員全体に対し、不正防止に向けた意識の向上と浸透を図ることを目的として実施する諸活動全般（具体的な内容については、第２節１の「実施上の留意事項」⑤及び⑥を参照）。

（９）管理条件

文部科学省が、調査の結果、機関の体制整備等の状況について不備を認める場合、当該機関に対し、改善事項及びその履行期限を示した競争的研究費等の交付継続の条件。

（本ガイドラインの構成と留意点）

第１節から第６節においては、それぞれの機関が実施すべき事項をテーマ別に記載し、第７節においては、それらの事項の実施状況評価を踏まえ、文部科学省及び配分機関が講じるべき措置等を記載し、第８節においては、文部科学省及び配分機関が、不正があった機関に対して講じるべき措置等を記載している。

各節に示す「機関に実施を要請する事項」及び「実施上の留意事項」に掲げる内容は、機関の性格や規模、コストやリソース等を考慮して実効性のある対策として実施されることが必要である。

また、企業等において、会社法に基づく内部統制システムの整備の一環等として規程等が既に設けられ、対策が実施されている場合や、大学等において、コンプライアンス関連の規程等により、これらを包括する体制等が整備されている場合は、本ガイドラインにおける対策をそれらに明確に位置付けた上でこれを準用することを可能とする。

なお、文末が「望ましい」という表現になっている事項は、より対策を強化する観点から例示しているものであり、それぞれの機関のリスクやコスト、リソースなどを踏まえ、実施することが考えられる。

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※3 「研究における不正行為・研究費の不正使用に関するタスクフォース」中間取りまとめ（平成２５年９月２６日）においては、研究活動に関係する不正を包括し、事前に防止するための取組として、「倫理教育」という用語を用いているが、本ガイドラインでは、不正使用防止の観点から、「コンプライアンス教育」と定義した。

## 第１節　機関内の責任体系の明確化

研究費不正の根絶を実現するためには、最高管理責任者の強力なリーダーシップの下、機関全体で取り組むことが求められ、最高管理責任者が不正防止に向けた取組を促すなど、構成員の意識の向上と浸透を図る必要がある。

また、監事は、機関の業務運営等を監査し、機関の長に直接意見を述べる立場にあることから、競争的研究費等の運営・管理についても重要な監査対象として確認することが求められる。

機関が、競争的研究費等の運営・管理を適正に行うためには、機関内の運営・管理に関わる責任者が不正防止対策に関して機関内外に責任を持ち、積極的に推進していくとともに、その役割、責任の所在・範囲と権限を明確化し、責任体系を機関内外に周知・公表することが必要である。

### １　競争的研究費等の運営・管理に関わる責任体系の明確化

（機関に実施を要請する事項）

（１）　機関全体を統括し、競争的研究費等の運営・管理について最終責任を負う者として「最高管理責任者」を定め、その職名を公開する。最高管理責任者は、原則として、機関の長が当たるものとする。

〈役割〉

ア　最高管理責任者は、不正防止対策の基本方針を策定・周知するとともに、それらを実施するために必要な措置を講じる。また、統括管理責任者及びコンプライアンス推進責任者が責任を持って競争的研究費等の運営・管理が行えるよう、適切にリーダーシップを発揮する。

イ　不正防止対策の基本方針や具体的な不正防止対策の策定に当たっては、重要事項を審議する役員会・理事会等（以下「役員会等」という。）において審議を主導するとともに、その実施状況や効果等について役員等と議論を深める。

ウ　最高管理責任者が自ら部局等に足を運んで不正防止に向けた取組を促すなど、様々な啓発活動を定期的に行い、構成員の意識の向上と浸透を図る。

（２）　最高管理責任者を補佐し、競争的研究費等の運営・管理について機関全体を統括する実質的な責任と権限を持つ者として「統括管理責任者」を定め、その職名を公開する。

〈役割〉

統括管理責任者は、不正防止対策の組織横断的な体制を統括する責任者であり、基本方針に基づき、機関全体の具体的な対策を策定・実施し、実施状況を確認するとともに、実施状況を最高管理責任者に報告する。

（３）　機関内の各部局等（例えば、大学の学部、附属の研究所等、一定の独立した事務機能を備えた組織）における競争的研究費等の運営・管理について実質的な責任と権限を持つ者として「コンプライアンス推進責任者」を定め、その職名を公開する。

〈役割〉

コンプライアンス推進責任者は、統括管理責任者の指示の下、

ア　自己の管理監督又は指導する部局等における対策を実施し、実施状況を確認するとともに、実施状況を統括管理責任者に報告する。

イ　不正防止を図るため、部局等内の競争的研究費等の運営・管理に関わる全ての構成員に対し、コンプライアンス教育を実施し、受講状況を管理監督する。

ウ　自己の管理監督又は指導する部局等において、定期的に啓発活動を実施する。

エ　自己の管理監督又は指導する部局等において、構成員が、適切に競争的研究費等の管理・執行を行っているか等をモニタリングし、必要に応じて改善を指導する。

（実施上の留意事項）

①　機関の組織規模・部局等の構成員の数等を踏まえ、役割の実効性を確保する観点から、各機関において適当と判断する場合は、例えば、コンプライアンス推進責任者については、大学の学科、専攻、研究所の部門等の組織レベルで複数の副責任者を任命し、日常的に目が届き、実効的な管理監督を行い得る体制を構築するなど、部局単位で責任の範囲を区分することができる。その場合は責任の範囲が曖昧にならないよう、より明確に規定することが必要である。

　また、上記(３)エの競争的研究費等の管理・執行に関しては、事務部門にも副責任者を任命するなど、コンプライアンス推進責任者へ管理・執行の情報が着実に伝達される体制を構築することも必要である。

②　機関が､コンプライアンス教育や必要な改善指導などを実施していないと、機関の管理責任を問われるとともに、更に、不正を行った者の責任を追及できないことになりかねない。このため、機関内の管理責任の明確化の観点から、各責任者の役割（責務）等を定めた内部規程等を整備し、それらの管理監督の責任が十分果たされず、結果的に不正を招いた場合には処分の対象となることも内部規程等において明確に位置付け、内部に周知徹底することも必要である。

③　最高管理責任者は、研究費不正根絶への強い決意を掲げ、不正防止対策を実効性のあるものとするために定期的に各責任者から報告を受ける場を設けるとともに、強力なリーダーシップの下、必要に応じて基本方針の見直し、必要な予算や人員配置などの措置を行う。

基本方針の見直しに当たっては､研究活動そのものの効率の低下を招かず、構成員の負担の軽減、機関の管理コストの低減といった多面的な視点から、単に厳格化するのではなく、機関として不正を起こさせないような組織風土が形成されるよう、実態を踏まえ、柔軟に基本方針を見直し、その実効性を確保することが重要である。このため、間接経費等を効果的に活用し、研究支援体制と管理体制の二つの側面から必要な予算や人員配置などの措置を行い、競争的研究費等がより効果的かつ効率的に活用される環境を醸成することも求められる。

④　統括管理責任者が行うべき対策として、不正防止計画の策定だけでなく、コンプライアンス教育や啓発活動等を通じて構成員の意識の向上と浸透を促し、組織全体で不正を防止する風土を形成するための総合的な取組が重要である。

そのため、統括管理責任者には、競争的研究費等の運営・管理に関わる構成員を対象としたコンプライアンス教育や啓発活動等の具体的な計画を策定・実施することが求められる。コンプライアンス教育や啓発活動の実施計画については、対象、時間・回数、実施時期、内容等を具体的に示すものとする。

⑤　第７節及び第８節に掲げる間接経費措置額の削減等の措置を受けた場合、最高管理責任者は、再発防止の観点から、機関内においても、不正が発生した部局等に対する措置を講じるとともに、不正に関与していない部局等や構成員の研究活動の遂行に影響を及ぼさないよう、必要な措置を講じなければならない。また、大学等の教育機関にあっては、併せて、学生の教育研究活動・環境に影響を及ぼさないよう、最大限の努力を払わなければならない。

## ２　監事に求められる役割の明確化

（機関に実施を要請する事項）

（１）　監事は、不正防止に関する内部統制の整備・運用状況について機関全体の観点から確認し、意見を述べる。

（２）　監事は、特に、統括管理責任者又はコンプライアンス推進責任者が実施するモニタリングや内部監査によって明らかになった不正発生要因が不正防止計画に反映されているか、また、不正防止計画が適切に実施されているかを確認し、意見を述べる。

（実施上の留意事項）

①　監事が上記（１）及び（２）に示す役割を十分に果たせるよう、内部監査部門、不正防止計画推進部署及びその他の関連部署は、監事と連携し、適切な情報提供等を行う。

②　監事は、上記（１）及び（２）で確認した結果について、役員会等において定期的に報告し、意見を述べる。

## 第２節　適正な運営・管理の基盤となる環境の整備

最高管理責任者は、不正が行われる可能性が常にあるという前提の下で、不正を誘発する要因を除去し、十分な抑止機能を備えた環境・体制の構築を図らなくてはならない。

### １　コンプライアンス教育・啓発活動の実施（関係者の意識の向上と浸透）

（機関に実施を要請する事項）

（１）　コンプライアンス推進責任者は、統括管理責任者が策定する実施計画に基づき、競争的研究費等の運営・管理に関わる全ての構成員を対象としたコンプライアンス教育を実施する。

（２）　コンプライアンス教育の内容は、各構成員の職務内容や権限・責任に応じた効果的で実効性のあるものを設定し、定期的に見直しを行う。

（３）　実施に際しては、あらかじめ一定の期間を定めて定期的に受講させるとともに、対象者の受講状況及び理解度について把握する。

（４）　これらの内容を遵守する義務があることを理解させ、意識の浸透を図るために、競争的研究費等の運営・管理に関わる全ての構成員に対し、受講の機会等に誓約書等の提出を求める。

（５）　コンプライアンス推進責任者は、統括管理責任者が策定する実施計画に基づき、競争的研究費等の運営・管理に関わる全ての構成員に対して、コンプライアンス教育にとどまらず、不正根絶に向けた継続的な啓発活動を実施する。

（６）　競争的研究費等の運営・管理に関わる全ての構成員に対する行動規範を策定する。

（実施上の留意事項）

①　コンプライアンス教育と啓発活動は、相互に補完する形で実施することが必要である。

コンプライアンス教育は、不正防止対策の理解の促進を目的として、競争的研究費等の運営・管理に関わる全ての構成員を対象とした説明会やe-learning 等の形式により実施し、受講状況及び理解度を把握することが求められる。

啓発活動は、コンプライアンス教育の内容を踏まえて意識の向上と浸透を図ることを目的とし、機関の構成員全体に対して、不正防止に向けた意識付

けを広く頻繁に繰り返し行うことが求められる（下記⑤及び⑥を参照）。

② コンプライアンス教育では、不正防止対策の理解や意識を高める内容として、具体的な事例を盛り込み、機関への影響、運用ルール・手続・告発等の制度などの遵守すべき事項、不正が発覚した場合の機関の懲戒処分・自らの弁償責任、配分機関における申請等資格の制限、研究費の返還等の措置、機関における不正対策等について説明する。

また、効果を高めるため、これらについて具体的な事案を基に懲戒処分等の内容や機関の不正対策としてモニタリング等を行っていることを説明することや、自らの過去の不正について機関に自己申告した場合には、懲戒処分等において情状が考慮されることがあることなども説明することが考えられる。

コンプライアンス教育の内容は、責任者、研究者、事務職員などの職域や常勤、非常勤の雇用形態等の権限や責任・職務に応じて適切に実施すること及びその内容を定期的に見直し、更新した内容を周知徹底することも望まれる。

事務職員に対しては、公的資金の適正な執行を確保できるよう専門的能力（業務に関する知識・能力）を向上させるとともに、研究活動の特性を十分理解しつつ、研究者が研究を遂行するために適切かつ効率的な事務を担う立場にあるとの意識を浸透させることが重要である。

③ これらの教育を実施していない機関は、管理責任を問われることや、不正を行った者の責任を追及できないことにもなりかねない。

このため、受講機会の確保を目的として複数回の説明会を開催することや、オンラインによる開催、機関内の e-learning を随時活用することにより、実効性のある取組とすることが重要である。

④ 競争的研究費等の運営・管理に関わる全ての構成員から、誓約書等を求めていないと、受講内容等を遵守する義務があることの意識付けや不正を行った者に対する懲戒処分等が厳正に行えないことにもなりかねない。

このため、内部規程等により、誓約書等の提出、内容等について明確化し、受講の機会等(新規採用者、転入者等についてはその都度)に提出を求め、遵守事項等の意識付けを図ることが必要である。

また、実効性を確保するため、誓約書等の提出を競争的研究費等の申請の要件とすることや提出がない場合は競争的研究費等の運営・管理に関わることができないこととするなど、併せて内部規程等により明示することも必要である。

誓約書等は、原則として本人の自署によることとし、盛り込むべき事項を以下に示す。当該誓約書等が確実に履行可能なものとなるよう、構成員と協議するなどしてコンセンサスを形成した上で実施することが望ましい。

〈誓約書等に盛り込むべき事項〉
・機関の規則等を遵守すること
・不正を行わないこと
・規則等に違反して、不正を行った場合は、機関や配分機関の処分及び法的な責任を負担すること

⑤ 啓発活動は、役員から現場の研究者や事務担当者に至るまで、構成員の意識の向上と浸透を図り、不正を起こさせない組織風土を形成することを目的として、実施計画に基づいて実施するものであり、コンプライアンス教育と併用・補完することにより、組織全体での取組について、その実効性を高めるものである。
啓発活動の内容は、不正防止計画や内部監査の結果、実際に発生した不正事案（他機関の事案も含む）及び不正発生要因等に関する検討と認識の共有を可能とするものでなければならない。その上で、最高管理責任者が構成員の意識向上を促進させる取組を実施するなど、不正を起こさせない組織風土の形成を図ることが重要であり、随時柔軟に見直しながら実施する必要がある。

⑥ 啓発活動は、不正を起こさせない組織風土の形成のために、全ての構成員に対して継続的に実施することが重要である。
部局長等会議、教授会等の既存の会議を活用するほか、メーリングリストの活用やポスター掲示等により、全ての構成員を対象として組織の隅々まで伝わるよう実施するとともに、少なくとも四半期に１回程度、機関又は各部局等の実情に合わせ定期的に実施していくことが求められる。
また、競争的研究費等により謝金、旅費等の支給を受ける学生等に対しても実施することが望ましい。

⑦ 行動規範の内容は、不正防止対策の基本方針における考え方を反映させたものとする。構成員の意識の向上と浸透のため、個々の事象への対応ではなく、機関の構成員としての取組の指針を明記し、上記の教育の中で周知徹底するものとする。

⑧ 機関は、これらの教育は、不正を事前に防止するための取組の一つであることを十分認識した上で、第４節や第６節に掲げる日常的な取組やモニタリング等の活動と複合的に実施していくことが求められる。

## ２　ルールの明確化・統一化

（機関に実施を要請する事項）

競争的研究費等に係る事務処理手続に関するルールについて、以下の観点から見直しを行い、明確かつ統一的な運用を図る。

（１）　競争的研究費等の運営・管理に関わる全ての構成員にとって分かりやすいようにルールを明確に定め、ルールと運用の実態が乖離していないか、適切なチェック体制が保持できるか等の観点から点検し、必要に応じて見直しを行う。

（２）　機関としてルールの統一を図る。ただし、研究分野の特性の違い等、合理的な理由がある場合には、機関全体として検討の上、複数の類型を設けることも可能とする。また、ルールの解釈についても部局等間で統一的運用を図る。

（３）　ルールの全体像を体系化し、競争的研究費等の運営・管理に関わる全ての構成員に分かりやすい形で周知する。

（４）　競争的研究費等により謝金、旅費等の支給を受ける学生等に対してもルールの周知を徹底する。

（実施上の留意事項）

①　機関内ルールの策定に当たっては、慣例にとらわれることなく、実態を踏まえ、業務が最も効率的かつ公正に遂行できるものとする。また、ルールが形骸化しないよう、第６節に掲げるモニタリング等の結果も踏まえ、必要に応じて見直しを行うこととする。更に、機関内ルール全体を通して定期的に点検・見直しを行うことが望ましい。

②　ルールの例外的な処理は、ルールと実態の乖離を招く恐れが強いことから、極力これを認めない。やむを得ず認める必要がある場合については、例外処理の指針を定め、手続を明確化して行うものとする。また、例外的処理を認めたケースについて先例集を作成して周知させるなど、実務が散漫にならないよう最大限の努力を惜しんではならない。

③　ルールの周知に当たっては、研究者、事務職員など、それぞれの職務に応じた視点から、分かりやすい形での周知に努める。

## ３　職務権限の明確化

（機関に実施を要請する事項）

（１）　競争的研究費等の事務処理に関する構成員の権限と責任について、機関内で合意を形成し、明確に定めて理解を共有する。

（２）　業務の分担の実態と職務分掌規程の間に乖離が生じないよう適切な職務分掌を定める。

（３）　各段階の関係者の職務権限を明確化する。

（４）　職務権限に応じた明確な決裁手続を定める。

（実施上の留意事項）

①　不正を防止するためには、適切なチェックが必要であることについて研究者の理解を促進し、現場でのチェックが適切に行われる体制を構築することが重要である。

②　業務の実態が変化しているにもかかわらず、職務分掌規程等が改定されないまま実態と乖離して空文化し、責任の所在が曖昧になっていないかという観点から必要に応じ適切に見直す。

③　決裁が形式的なものでなく責任の所在を反映した実効性のあるものとなるよう、決裁手続を簡素化する。その際、決裁者の責任を明確にするためにも、決裁者の人数を少人数に絞ることが望ましい。

④　研究の円滑かつ効率的な遂行等の観点から、一定金額の範囲内で研究者による発注を認める場合には、その権限と責任（例えば、研究者本人に、発注先選択の公平性、発注金額の適正性の説明責任、弁償責任等の会計上の責任が帰属すること）を明確化し、当該研究者にあらかじめ理解してもらうことが必要である。

## ４　告発等の取扱い、調査及び懲戒に関する規程の整備及び運用の透明化

（機関に実施を要請する事項）

（１）　機関内外からの告発等（機関内外からの不正の疑いの指摘、本人からの申出など）を受け付ける窓口を設置する。

（２）　不正に係る情報が、窓口の担当者等から迅速かつ確実に最高管理責任者に伝わる体制を構築する。

（３）　以下のアからオを含め、不正に係る調査の体制・手続等を明確に示した規程等を定める。

ア　告発等の取扱い

告発等を受け付けた場合は、告発等の受付から３０日以内に、告発等の内容の合理性を確認し調査の要否を判断するとともに、当該調査の要否を配分機関に報告する。

また、報道や会計検査院等の外部機関からの指摘による場合も同様の取扱いとする。

イ　調査委員会の設置及び調査

調査が必要と判断された場合は、調査委員会を設置し、調査を実施する。調査委員会は、不正の有無及び不正の内容、関与した者及びその関与の程度、不正使用の相当額等について調査する。

ウ　調査中における一時的執行停止

被告発者が所属する研究機関は、必要に応じて、被告発者等の調査対象となっている者に対し、調査対象制度の研究費の使用停止を命ずることとする。

エ　認定

調査委員会は、不正の有無及び不正の内容、関与した者及びその関与の程度、不正使用の相当額等について認定する。

オ　配分機関への報告及び調査への協力等

1)　機関は、調査の実施に際し、調査方針、調査対象及び方法等について配分機関に報告、協議しなければならない。

2)　告発等の受付から２１０日以内に、調査結果、不正発生要因、不正に関与した者が関わる他の競争的研究費等における管理・監査体制の状況、再発防止計画等を含む最終報告書を配分機関に提出する。期限

までに調査が完了しない場合であっても、調査の中間報告を配分機関に提出する。

3)　また、調査の過程であっても、不正の事実が一部でも確認された場合には、速やかに認定し、配分機関に報告する。

4)　上記のほか、配分機関の求めに応じ、調査の終了前であっても、調査の進捗状況報告及び調査の中間報告を当該配分機関に提出する。

5)　また、調査に支障がある等、正当な事由がある場合を除き、当該事案に係る資料の提出又は閲覧、現地調査に応じる。

（４）　不正に係る調査に関する規程等の運用については、公正であり、かつ透明性の高い仕組みを構築する。

（５）　懲戒の種類及びその適用に必要な手続等を明確に示した規程等を定める。

（実施上の留意事項）

①　不正の告発等の制度を機能させるため、機関の構成員に対しては、コンプライアンス教育等で具体的な利用方法を周知徹底する。また、取引業者等の外部者に対しては、相談窓口及び告発等の窓口の仕組み（連絡先、方法、告発者の保護を含む手続等）について、ホームページ等で積極的に公表し、周知を図る。その際、告発等の取扱いに関し、告発者の保護を徹底するとともに、保護の内容を告発者に周知することが必要である。このほか、告発者保護の観点から、第三者機関等に窓口を設置することも望まれる。

②　誹謗中傷等から被告発者を保護する方策を講じる。

③　顕名による告発の場合、原則として、受け付けた告発等に基づき実施する措置の内容を、告発者に通知する。

④　不正に係る調査の体制・手続等の規程は、原則として、「研究活動における不正行為への対応等に関するガイドライン」の手続（再実験に係る部分等を除く。）に準じて整備・見直しを行う。不正に係る調査体制については、公正かつ透明性の確保の観点から、当該機関に属さない第三者（弁護士、公認会計士等）を含む調査委員会を設置することが必要である。この調査委員は、機関及び告発者、被告発者と直接の利害関係を有しない者でなければならない。

⑤　懲戒規程等は、不正の背景、動機等を総合的に判断し、悪質性に応じて処分がなされるよう、適切に整備する。

例えば、不正を行った者又はその管理監督に適正を欠いた者に対する懲戒処分等が内部規程に明確に位置付けられていない場合は、処分等が公正かつ厳正に行えないことにもなりかねない。

このため、研究者の役割や責任（告発等に対する説明責任を含む）を明確にすることはもとより、機関としての責任や役割について、第１節の各責任者の役割や責任の範囲を定めた必要な規程や体制を整備した上で、懲戒規程等の内部規程に明確に位置付け、構成員に周知徹底しておくことが必要である。

更に、私的流用など、行為の悪質性が高い場合には、刑事告発や民事訴訟があり得ることなど、法的な手続に関しても内部規程上、明確に位置付け、構成員に周知徹底しておくことも必要である。

⑥　機関は、調査の結果、不正を認定した場合は、速やかに調査結果を公表する。公表する内容は、少なくとも不正に関与した者の氏名・所属、不正の内容、機関が公表時までに行った措置の内容、調査委員の氏名・所属、調査の方法・手順等が含まれているものとする。ただし、合理的な理由がある場合は、不正に関与した者の氏名・所属などを非公表とすることができる。

また、これらの公表に関する手続をあらかじめ定め、構成員に周知徹底しておくことが必要である。

⑦　機関において発生した不正の調査結果は、再発防止の観点から、処分も含めて、構成員に周知することも必要である。

## 第３節　不正を発生させる要因の把握と不正防止計画の策定・実施

不正を発生させる要因を把握し、具体的な不正防止計画を策定・実施することにより、関係者の自主的な取組を喚起し、不正の発生を防止することが必要である。
不正防止計画の着実な実施は、最終的には最高管理責任者の責任であり、実際に不正が発生した場合には、最高管理責任者の対応が問われることとなる。

### １　不正防止計画の推進を担当する者又は部署の設置

（機関に実施を要請する事項）

| |
|---|
| （１）　機関全体の観点から不正防止計画の推進を担当する者又は部署（以下「防止計画推進部署」という。）を置く。 |
| （２）　防止計画推進部署は、統括管理責任者とともに機関全体の具体的な対策（不正防止計画、コンプライアンス教育・啓発活動等の計画を含む。）を策定・実施し、実施状況を確認する。 |
| （３）　防止計画推進部署は監事との連携を強化し、必要な情報提供等を行うとともに、不正防止計画の策定・実施・見直しの状況について意見交換を行う機会を設ける。 |

（実施上の留意事項）

①　防止計画推進部署は、統括管理責任者がその役割を果たす上での実働部門として位置付けるとともに、最高管理責任者の直属として設置するなどにより、機関全体を取りまとめることができるものとする。
　また、機関の内部監査部門とは別に設置し、密接な連絡を保ちつつも内部監査部門からのチェックが働くようにすることが必要である。なお、機関の規模によっては既存の部署を充て、又は既存の部署の職員が兼務することとしても差し支えない。

②　防止計画推進部署には、研究経験を有する者を含むことが望ましい。

## ２　不正を発生させる要因の把握と不正防止計画の策定及び実施

（機関に実施を要請する事項）

（１）　防止計画推進部署は、内部監査部門と連携し、不正を発生させる要因がどこにどのような形であるのか、機関全体の状況を体系的に整理し評価する。

（２）　最高管理責任者が策定する不正防止対策の基本方針に基づき、統括管理責任者及び防止計画推進部署は、機関全体の具体的な対策のうち最上位のものとして、不正防止計画を策定する。

（３）　不正防止計画の策定に当たっては、上記（１）で把握した不正を発生させる要因に対応する対策を反映させ、実効性のある内容にするとともに、不正発生要因に応じて随時見直しを行い、効率化・適正化を図る。

（４）　部局等は、不正根絶のために、防止計画推進部署と協力しつつ、主体的に不正防止計画を実施する。

（実施上の留意事項）

①　不正を発生させる要因の把握に当たっては、一般的に以下のようなリスクに注意が必要である。その他、各機関の実態に即した特有のリスクにも留意する。

・ルールと実態の乖離（発注権限のない研究者による発注、例外処理の常態化など）

・決裁手続が複雑で責任の所在が不明確

・予算執行の特定の時期への偏り

・業者に対する未払い問題の発生

・競争的研究費等が集中している、又は新たに大型の競争的研究費等を獲得した部局・研究室

・取引に対するチェックが不十分（事務部門の取引記録の管理や業者の選定・情報の管理が不十分）

・同一の研究室における、同一業者、同一品目の多頻度取引、特定の研究室のみでしか取引実績のない業者や特定の研究室との取引を新規に開始した業者への発注の偏り

・データベース・プログラム・デジタルコンテンツ作成、機器の保守・点検など、特殊な役務契約に対する検収が不十分

・検収業務やモニタリング等の形骸化（受領印による確認のみ、事後抽出による現物確認の不徹底など）

・業者による納品物品の持ち帰りや納品検収時における納品物品の反復使用

・非常勤雇用者の勤務状況確認等の雇用管理が研究室任せ

・出張の事実確認等が行える手続が不十分（二重払いのチェックや用務先への確認など）

・個人依存度が高い、あるいは閉鎖的な職場環境（特定個人に会計業務等が集中、特定部署に長い在籍年数、上司の意向に逆らえないなど）や、牽制が効きづらい研究環境（発注・検収業務などを研究室内で処理、孤立した研究室など）

② 不正には複数の要因が関わる可能性があることに留意する。

③ 具体的な要因を把握するに当たっては、組織全体の幅広い関係者の協力を求め、実際に不正が発生する危険性が常にどこにでもあることを認識させ、自発的な改善の取組を促す。

④ 不正を発生させる要因に対する不正防止計画は、優先的に取り組むべき事項を中心に、明確なものとするとともに、内部監査を含むモニタリングの結果やリスクが顕在化したケースの状況等を活用し、定期的に見直しを行うことが必要である。

⑤ 不正防止計画の策定に当たっては、経理的な側面のみならず、ルール違反防止のためのシステムや業務の有効性、効率性といった側面についても検討する。

⑥ 不正防止計画への取組に部局等によるばらつきが生じないよう機関全体の観点からのモニタリングを行う。

## 第４節　研究費の適正な運営・管理活動

第３節で策定した不正防止計画を踏まえ、適正な予算執行を行う。業者との癒着の発生を防止するとともに、不正につながりうる問題が捉えられるよう、第三者からの実効性のあるチェックが効くシステムを作って管理することが必要である。また、研究費の執行に関する書類やデータ等は機関の定めた期間保存し、後日の検証を受けられるようにする必要がある。

（機関に実施を要請する事項）

（１）　予算の執行状況を検証し、実態と合ったものになっているか確認する。予算執行が当初計画に比較して著しく遅れている場合は、研究計画の遂行に問題がないか確認し、問題があれば改善策を講じる。

（２）　発注段階で支出財源の特定を行い、予算執行の状況を遅滞なく把握できるようにする。

（３）　不正な取引は構成員と業者の関係が緊密な状況で発生しがちであることに鑑み、癒着を防止する対策を講じる。このため、不正な取引に関与した業者への取引停止等の処分方針を機関として定め、機関の不正対策に関する方針及びルール等を含め、周知徹底し、一定の取引実績（回数、金額等）や機関におけるリスク要因・実効性等を考慮した上で誓約書等の提出を求める。

（４）　発注・検収業務については、原則として、事務部門が実施することとし、当事者以外によるチェックが有効に機能するシステムを構築・運営し、運用する。

（５）　ただし、研究の円滑かつ効率的な遂行等の観点から、研究者による発注を認める場合は、一定金額以下のものとするなど明確なルールを定めた上で運用する。その際、研究者本人に、第２節３の「実施上の留意事項」④に示す権限と責任についてあらかじめ理解してもらうことが必要である。

（６）　また、物品等において発注した当事者以外の検収が困難である場合であって、一部の物品等について検収業務を省略する例外的な取扱いとする場合は、件数、リスク等を考慮し、抽出方法・割合等を適正に定め、定期的に抽出による事後確認を実施することが必要である。

（７）　特殊な役務（データベース・プログラム・デジタルコンテンツ開発・作成、機器の保守・点検など）に関する検収について、実効性のある明確なルールを定めた上で運用する。

（８）　非常勤雇用者の勤務状況確認等の雇用管理については、原則として事務部門が実施する。

（９）　換金性の高い物品については、適切に管理する。

（10）　研究者の出張計画の実行状況等を事務部門で把握・確認できる体制とする。

（実施上の留意事項）

①　予算執行が年度末に集中するような場合は、執行に何らかの問題がある可能性があることに留意し、事務職員は必要に応じて研究者に対して執行の遅れの理由を確認するとともに必要な場合は改善を求める。

②　取引業者に求める誓約書等に盛り込むべき事項を以下に示す。

〈誓約書等に盛り込むべき事項〉
・機関の規則等を遵守し、不正に関与しないこと
・内部監査、その他調査等において、取引帳簿の閲覧・提出等の要請に協力すること
・不正が認められた場合は、取引停止を含むいかなる処分を講じられても異議がないこと
・構成員から不正な行為の依頼等があった場合には通報すること

また、取引業者が過去の不正取引について、機関に自己申告した場合には、情状を考慮し、取引停止期間の減免を行うことがあることなどを含めた処分方針の周知徹底を図る。

③　発注・検収業務を含む物品調達に係るチェックシステムは、不正の防止と研究の円滑かつ効率的な遂行を両立させるよう配慮する。上記「機関に実施を要請する事項」（５）の取扱いとする場合であっても、事務部門の牽制が実質的に機能する仕組みとして、発注に関し、定期的に予算執行・取引状況・内容を検証（是正指導)することが必要である。また、検収業務についても、上下関係を有する同一研究室・グループ内での検収の実施などは避け、発注者の影響を完全に排除した実質的なチェックが行われるようにしなければならない。

このほか、過去に業者による納品物品の持ち帰りや納品検収時における納品物品の反復使用などによる不正が認められた機関においては、それらを防止するための具体的な対策（例：業者の入出構管理、納品物品へのマーキング、シリアル番号の付記など）を講じることも必要である。

④　書面によるチェックを行う場合、形式的な書類の照合ではなく、ルールや

研究内容等との整合性を確認するように実施し、必要に応じて照会や現物確認を行う。

⑤　発注業務を柔軟にすることを目的として一定金額以下のものについて研究者による直接の発注を認める場合であっても、従来の慣行に関わらず、発注の記録方法や発注可能な金額の範囲等について、機関として可能な限り統一を図る。

⑥　検収の際は、発注データ（発注書や契約書等）と納入された現物を照合するとともに、据え付け調整等の設置作業を伴う納品の場合は、設置後の現場において納品を確認する。

⑦　正当な理由により、研究費の執行が当初計画より遅れる場合等においては、繰越制度の積極的活用等、ルールそのものが内蔵する弾力性を利用した対応を行う。また、研究費を年度内に使い切れずに返還しても、その後の採択等に悪影響はないことを周知徹底することも必要である。

⑧　上記「機関に実施を要請する事項」（７）の特殊な役務についても検収対象とし、原則として、有形の成果物がある場合には、成果物及び完了報告書等の履行が確認できる書類により、検収を行うとともに、必要に応じ、抽出による事後チェックなどを含め、これに係る仕様書、作業工程などの詳細をこれらの知識を有する発注者以外の者がチェックする。また、成果物がない機器の保守・点検などの場合は、検収担当者が立会い等による現場確認を行うことが必要である。

⑨　非常勤雇用者の勤務状況確認等の雇用管理については、研究室任せにならないよう、事務部門が採用時や定期的に、面談や勤務条件の説明、出勤簿・勤務内容の確認等を行うことが必要である。

⑩　換金性の高い物品については、競争的研究費等で購入したことを明示するほか、物品の所在が分かるよう記録することなどにより、適切に管理する。特に、パソコンについては適切に管理することが望ましい。

⑪　研究者の出張計画の実行状況等の把握・確認については、用務内容、訪問先、宿泊先、面談者等が確認できる報告書等の提出を求め、重複受給がないかなども含め、用務の目的や受給額の適切性を確認し、必要に応じて照会や出張の事実確認を行う。

⑫　旅費の支払に当たっては、コーポレートカードの活用や旅行業者への業務委託等により、研究者が支払に関与する必要のない仕組みを導入することが望ましい。

⑬　このほか、コンプライアンス推進責任者等は、自己の管理監督する部局等において、研究者と業者の関係が過度に緊密にならないよう、オープンなスペースでの打合せを推奨することや、孤立又は閉鎖的な環境とならないよう、業務支援を推進する体制や相談しやすい環境の醸成に努め、円滑なコミュニケーションが図られるような仕組みを組織的に推進することが望まれる。

## 第５節　情報発信・共有化の推進

ガイドラインの趣旨に沿って、多様な機関がそれぞれの規模や特性に応じた実効性ある体制を整備する上では、機関内での情報共有はもとより、各機関の取組や事例の主体的な情報発信による機関間での情報共有が必要かつ有効である。また、このことは、競争的研究費等に対し、広く国民の理解と支援を得る上でも必要不可欠である。

（機関に実施を要請する事項）

**（１）　競争的研究費等の使用に関するルール等について、機関内外からの相談を受け付ける窓口を設置する。**

**（２）　競争的研究費等の不正への取組に関する機関の方針等を外部に公表する。**

（実施上の留意事項）

①　不正を事前に防止するためには、研究者が日常的な研究活動において、自らの行為がルール等に抵触するのか否かを事前に相談できる体制（相談窓口の設置など）を整備することが必要である。また、これらの窓口が適切に機能し、統一的な対応が行われるよう、担当者間の情報共有・共通理解の促進のための研修の実施など、組織的な取組を推進することが望まれる。

　また、日常の相談を通じて蓄積された事例を整理・分析し、構成員間で共有する仕組みを整備するとともに、必要に応じ、モニタリングの結果などとともに、最高管理責任者に報告し、基本方針・内部規程の見直しやコンプライアンス教育の内容にフィードバックできる体制も必要である。

②　機関の不正への取組に関する基本方針等の公表は、機関の不正防止に対する考え方や方針を明らかにするものであり、社会への説明責任を果たす上でも重要である。

　このため、「行動規範」、「管理・運営体制」はもとより、機関間での情報共有の観点から、「マニュアル」、「不正防止計画」、「相談窓口」、「通報窓口」、「処分（取引停止等の取扱いを含む。）」、「機関における諸手続」などとともに、これらに関係する諸規程を内外の利用者の視点に立って、分かりやすく体系化・集約化してホームページ等に掲載し、積極的な情報発信を行うことが求められる。

③　企業等において、企業活動上、社内規程等を外部に公表することが困難な場合は、配分機関への報告をもって公表に代えることができる。

## 第６節　モニタリングの在り方

不正の発生の可能性を最小にすることを目指し、機関全体の視点から実効性のあるモニタリング体制を整備・実施することが重要である。また、これらに加え、機関の実態に即して、不正が発生する要因を分析し、不正が発生するリスクに対して重点的かつ機動的な監査(リスクアプローチ監査)を実施し、恒常的に組織的牽制機能の充実・強化を図ることが必要である。

（機関に実施を要請する事項）

（１）　競争的研究費等の適正な管理のため、機関全体の視点からモニタリング及び監査制度を整備し、実施する。

（２）　内部監査部門は、最高管理責任者の直轄的な組織としての位置付けを明確化するとともに、実効性ある権限を付与し強化する。

（３）　内部監査部門は、毎年度定期的に、ルールに照らして会計書類の形式的要件等が具備されているかなど、財務情報に対するチェックを一定数実施する。また、競争的研究費等の管理体制の不備の検証も行う。

（４）　内部監査部門は、上記（３）に加え、第３節１の防止計画推進部署との連携を強化し、同節２「実施上の留意事項」①に示すリスクを踏まえ、機関の実態に即して要因を分析した上で、不正が発生するリスクに対して、重点的にサンプルを抽出し、抜き打ちなどを含めたリスクアプローチ監査を実施する。

（５）　内部監査の実施に当たっては、過去の内部監査や、統括管理責任者及びコンプライアンス推進責任者が実施するモニタリングを通じて把握された不正発生要因に応じて、監査計画を随時見直し、効率化・適正化を図るとともに、専門的な知識を有する者（公認会計士や他の機関で監査業務の経験のある者等）を活用して内部監査の質の向上を図る。

（６）　内部監査部門は、効率的・効果的かつ多角的な内部監査を実施するために、監事及び会計監査人との連携を強化し、必要な情報提供等を行うとともに、機関における不正防止に関する内部統制の整備・運用状況や、モニタリング、内部監査の手法、競争的研究費等の運営・管理の在り方等について定期的に意見交換を行う。

（７）　機関は、第７節１「文部科学省が実施すべき事項」（３）に掲げる調査について協力することとする。

**（８） 内部監査結果等については、コンプライアンス教育及び啓発活動にも活用するなどして周知を図り、機関全体として同様のリスクが発生しないよう徹底する。**

**（実施上の留意事項）**

① 内部監査部門の体制を強化するため、高い専門性を備え、機関の運営を全体的な視点から考察できる人材を配置することが望ましい。

② 内部監査は、機関全体のモニタリングが有効に機能する体制となっているか否かを確認・検証するなど、機関全体の見地に立った検証機能を果たすことが重要である。調達業務を例にとると、発注・検収・支払の現場におけるチェック及び防止計画推進部署によるそれらのモニタリングがともに機能しているか否かを内部監査により確認する。また、内部監査では、ルールそのものにも改善すべきことがないか検証することも必要である。

③ リスクアプローチ監査の具体的な方法については、以下のような手法が考えられる。

・研究者の一部を対象に、当該研究者の旅費を一定期間分抽出して先方に確認、出勤簿に照らし合わせるほか、出張の目的や概要について抜き打ちでヒアリングを行う。

・非常勤雇用者の一部を対象に勤務実態についてヒアリングを行う。

・納品後の物品等の現物確認

・取引業者の帳簿との突合

④ 内部監査の質を一定に保つため、監査手順を示したマニュアルを作成し、随時更新しながら関係者間で活用する。

⑤ 財政上の制約から、独立した専属の内部監査部門を設置することが困難な場合、以下のような対応を行うことも考えられる。

・経理的な側面に対する内部監査は、担当者を指定し、その取りまとめ責任の下に、複数の組織から人員を確保してチームとして対応する。

・ルール違反防止のためのシステムや業務の有効性、効率性といった側面に対する内部監査は、防止計画推進部署等が兼務して実施する。

⑥ 内部監査部門は、防止計画推進部署から不正発生要因の情報を入手した上で、監査計画を適切に立案するとともに、防止計画推進部署においては、内部監査結果等を不正防止計画に反映させる。

⑦　内部監査部門及び監事は、監査の効果を発揮できるよう、機関のコンプライアンスを包括する部署や外部からの相談を受ける窓口等、機関内のあらゆる組織と連携するとともに、不正に関する通報内容を把握し、機関内で適切な対応がとられているかを確認することが望ましい。

## 第７節　文部科学省による研究機関に対するモニタリング等及び文部科学省、配分機関による体制整備の不備がある機関に対する措置の在り方

文部科学省は、機関が、第１節から第６節に記載した対策の実施状況について、次のように確認、評価及び措置を行う。

### １　基本的な考え方

文部科学省は、資金配分先の機関においても研究費が適切に使用・管理されるよう所要の対応を行う責務を負っている。文部科学省は、機関における管理体制について、ガイドラインの実施状況を把握し、所要の改善を促す。

（文部科学省が実施すべき事項）

（１）　有識者による検討の場を設け、ガイドラインの実施等に関してフォローアップするとともに、必要に応じてガイドラインの見直し等を行う。

（２）　文部科学省は、機関側の自発的な対応を促す形で指導等を行う。管理体制の改善に向けた指導や措置については、緊急の措置が必要な場合等を除き、研究活動の遂行に及ぼす影響を勘案した上で、段階的に実施する。

（３）　上記（１）及び（２）を実施するため、調査機能の強化を図り、機関に対し、以下の調査（書面、面接、現地調査を含む）を実施する。

ア　履行状況調査（毎年、一定数を抽出）
イ　機動調査（履行状況調査以外に、緊急・臨時の案件に機動的に対応）
ウ　フォローアップ調査（履行状況調査、機動調査における改善措置状況をフォローアップし、必要に応じ措置を講じる）
エ　特別調査（不正発覚後の状況把握・指導）

（４）　上記（３）の調査結果等により収集した不正防止のための実効性ある取組事例を活用し、研修会の開催やコンテンツ教材の作成等を行い、機関における研究費の管理・監査体制の構築に向けた支援を行う。

（実施上の留意事項）

①　従来も配分機関により額の確定調査やその他の確認が個別の競争的研究費等で行われている。文部科学省はそれらの手段を有効に組み合わせて、研究者及び機関の負担を可能な限り増やさずに効率的・効果的な検証を行うよう努める。

②　機関が不正を抑止するために合理的に見て十分な体制整備を図っている場

合には、文部科学省は、構成員個人による意図的かつ計画的な不正が発生したことをもって、直ちに機関の責任を問うものではない。

③　機関の問題は、個別の部局等にある場合もあるが、部局等も含めた体制整備の責任は、機関の長にある。したがって、体制整備の不備に関する評価、及び評価結果に基づき行われる措置の対象は原則として機関全体とする。

２　具体的な進め方

（文部科学省、配分機関、機関が実施すべき事項）

（１）実態把握のためのモニタリング

文部科学省は、ガイドラインに基づく体制整備等の実施状況について、書面等による報告を機関に求め、機関は、書面等による報告を文部科学省に提出する。

（２）措置のためのモニタリング等

ア　文部科学省は、毎年度、履行状況調査の実施方針等を定め、一定数を抽出し、機関におけるガイドラインに基づく体制整備等の状況について調査を実施し、ガイドラインの「機関に実施を要請する事項」等について確認する。また、配分機関において、不正が確認された機関も当該調査の対象とする。

イ　文部科学省は、上記アの調査以外にも、緊急・臨時の案件に機動的に対応するため、必要に応じて機動調査を実施し、ガイドラインに基づく体制整備等の実態把握を行う。

ウ　文部科学省が有識者による検討も踏まえ、上記ア、イの調査の結果において機関の体制整備等の状況について不備があると判断する場合は、当該機関に対して、文部科学省は以下の 1)の措置を講じ、その結果を受けて、配分機関は 2)及び 3)の順に段階的な措置を講じる。また、文部科学省は調査結果及び措置の状況を公表する。

ただし、文部科学省が機関における体制整備に重大な不備があると判断した場合又は機関における体制整備の不備による不正と認定した場合は、必要に応じて、段階的な措置によらず、文部科学省が 1)を講じると同時に、配分機関は 2)の措置を講じることとする。

なお、措置の検討に当たっては、機関からの弁明の機会を設けるものとする。

1)　管理条件の付与

文部科学省は、機関に対し、体制整備等の不備について、改善事項及びその履行期限（１年）を示した管理条件を付す。また、文部科学省は、管理条件の履行状況について毎年度フォローアップ調査を実施し、調査結果を機関及び配分機関に通知する。

2)　間接経費の削減

配分機関は、文部科学省がフォローアップ調査の結果において、管理条件の履行が認められないと判断した場合は、当該機関に対する競争的研究費等における翌年度以降の間接経費措置額を一定割合削減する。

間接経費措置額の削減割合については、フォローアップ調査の結果に応じて、段階的に引上げ、上限を間接経費措置額の１５％とする。

3)　配分の停止

間接経費を上限まで削減する措置を講じている間においても文部科学省が管理条件の履行が認められないと判断した場合は、配分機関は、当該機関に対する翌年度以降の競争的研究費等の配分を停止する。

エ　ウの 1)から 3)の措置の解除は、以下によるものとする。

・1)の措置は、機関において管理条件を着実に履行していると文部科学省が判断した時点で、文部科学省が解除する。

・2)の措置は、機関において管理条件を着実に履行又は履行に進展があると文部科学省が判断した場合、配分機関がその翌年度に解除する。

・3)の措置は、機関において管理条件を着実に履行又は履行に進展があると文部科学省が判断した時点で、配分機関が解除する。

（実施上の留意事項）

①　管理条件を付与した翌年度に、機関において当該管理条件を着実に履行していると文部科学省が判断した場合は、当該機関に対するフォローアップ調査を終了する。また、機関において当該管理条件の着実な履行に至らずとも、文部科学省が履行に進展があると判断した場合は、経過観察として、継続的にフォローアップ調査を実施する。

②　間接経費措置額の削減割合の基準については、文部科学省が別に定めることとする。

## 第８節　文部科学省、配分機関による競争的研究費等における不正への対応

機関が告発等を受け付けし、配分機関が機関から調査の要否の報告を受けた際は、機関に対して当該事案の速やかな全容解明を要請し、機関から提出される報告書等を踏まえ、当該機関に対して改善を求めることが必要である。また、本ガイドラインでは、研究費の管理は機関の責任において行うこととしているため、文部科学省及び配分機関は、競争的研究費等における不正を確認した場合は、研究者だけでなく、機関に対しても措置を講じることとする。

（配分機関が実施すべき事項）

（１）　配分機関は、機関から調査実施の要否について報告を受けた場合は、機関に対して必要な指示を行うこととする。

（２）　配分機関は、機関における調査が適切に実施されるよう、調査方針、調査対象及び方法等の報告を受け、必要に応じて指示を行うとともに、当該事案の速やかな全容解明を要請する。

（３）　配分機関は、調査の過程であっても、機関から不正の一部が認定された旨の報告があった場合は、必要に応じ、不正を行った研究者が関わる競争的研究費等について、採択又は交付決定の保留、交付停止、機関に対する執行停止の指示等を行う。

（４）　配分機関は、機関から不正を認定した最終報告書が提出され、それを確認した場合は、当該報告書の内容を踏まえ、以下の措置を講じることとする。

〈機関に対する措置〉
・第７節２（２）参照

〈機関・研究者に対する措置〉
・不正に係る競争的研究費等の返還等
　不正があった競争的研究費等において、配分機関は、機関又は研究者に対し、事案に応じて、交付決定の取消し等を行い、また、研究費の一部又は全部の返還を求める。

〈研究者に対する措置〉
・競争的研究費等への申請及び参加資格の制限
　不正があった競争的研究費等において、配分機関は、不正を行った研究者及びそれに共謀した研究者等に対し、事案に応じて、競争的研究費等への申請及び参加資格を制限する。

（５）　配分機関は、機関が告発等を受け付けた日から２１０日以内に最終報告書の提出がない場合、当該機関に対して、状況に応じて、報告遅延に係る以下の措置を講じることとする。

ただし、報告遅延に合理的な理由がある場合は、当該理由に応じて配分機関が別途、最終報告書の提出期限を設けるものとする。

ア　配分機関は、当該機関の不正に関する告発等があった競争的研究費等における翌年度以降の１か年度の間接経費措置額を一定割合削減する。
　間接経費措置額の削減割合については、提出期限を過ぎた日数に応じて、段階的に引上げ、上限を間接経費措置額の１０％とする。

イ　被告発者が自らの責任を果たさないことにより最終報告書の提出が遅延した場合、配分機関は、当該研究者が関わる競争的研究費等について、採択又は交付決定の保留、交付停止、機関に対する執行停止の指示等を行う。

（実施上の留意事項）

①　配分機関は、研究者の責任により最終報告書の提出が遅延した場合をもって、直ちに機関の責任を問うものではない。

②　配分機関は、研究者に対する措置として、競争的研究費等への申請及び参加資格の制限を行う場合は、「競争的資金の適正な執行に関する指針」（平成１７年９月９日 競争的研究費に関する関係府省連絡会申し合わせ）に基づき、措置を講じることとする。

③　機関から提出された最終報告書について、配分機関との必要な協議を経なかったことなどにより、調査方法及び報告書の内容等に重大な問題があった場合は、配分機関は、機関に対し、最終報告書の再提出を求めることとする。

④　報告遅延に係る合理的な理由としては、研究者の機関に対する申立てにより、機関内の再調査が必要となる場合、捜査当局により関連資料が押収されている場合や、不正を行った研究者が関連資料を隠蔽（いんぺい）するなど調査への協力を拒否する場合等が該当する。

⑤　最終報告書の報告遅延に係る間接経費措置額の削減については、原則、翌年度の当該競争的研究費等における間接経費を対象とするが、最終報告書が、翌年度の当該競争的研究費等の交付決定後に機関から提出された場合など、翌年度の当該競争的研究費等における間接経費を削減することが困難な場合は、配分機関は、翌々年度の当該競争的研究費等における間接経費を削減することとする。

⑥　間接経費措置額の削減割合の基準については、文部科学省が別に定めることとする。

⑦　最終報告書の提出以外に、第２節４における必要な手続を行わなかった場合は、配分機関は機関に対し、その他の必要な措置を講じることとする。

## 2025 Research Funding Handbook

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