

Handbook on the Use of Research Funds, etc.

2024.6改訂



Handbook on the Use of Research Funds, etc.

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1. Appropriate Treatment of All Expenses Paid from University Accounts

Types of All Expenses Paid from University Accounts

The rules differ for each type of research fund.

Types of All Expenses Paid from University Accounts		Main regulations
Management Expenses Grants · Tuition / Examination and Entrance Fees · College Hospital Revenue etc.	Education and Research Costs · College Hospital Costs etc.	Kanazawa University internal rules and regulations etc.
External funds	Competitive Funds (Kakenhi, public competitive funds etc.)	Laws pertaining to the appropriate use of subsidy budgets
		Distribution guidelines for grants, accounting procedures, grant conditions and distribution conditions etc.
		Kanazawa University internal rules and regulations
	Commissioned research funds Joint research funds	Contracts etc.
		Kanazawa University internal rules and regulations
Donated funds (including sponsorship(※))	Purpose of donation	
	Kanazawa University internal rules and regulations	

※ Even when faculty of the university receives a direct donation as an individual from corporations or foundation, if either of the following is applicable, the University is required to account for those funds therefore; procedures to inform the University of the donation must be taken.

①the donation is to support the faculty member-in-question's education or research in the course of duties.

②the funds supplied by the donation are used for education or research expenses incurred when using University facilities or equipment.

1. Appropriate Treatment of All Expenses Paid from University Accounts

Important Notice on the Use of Any Expenses Processed in Kanazawa University's Accounting Activities

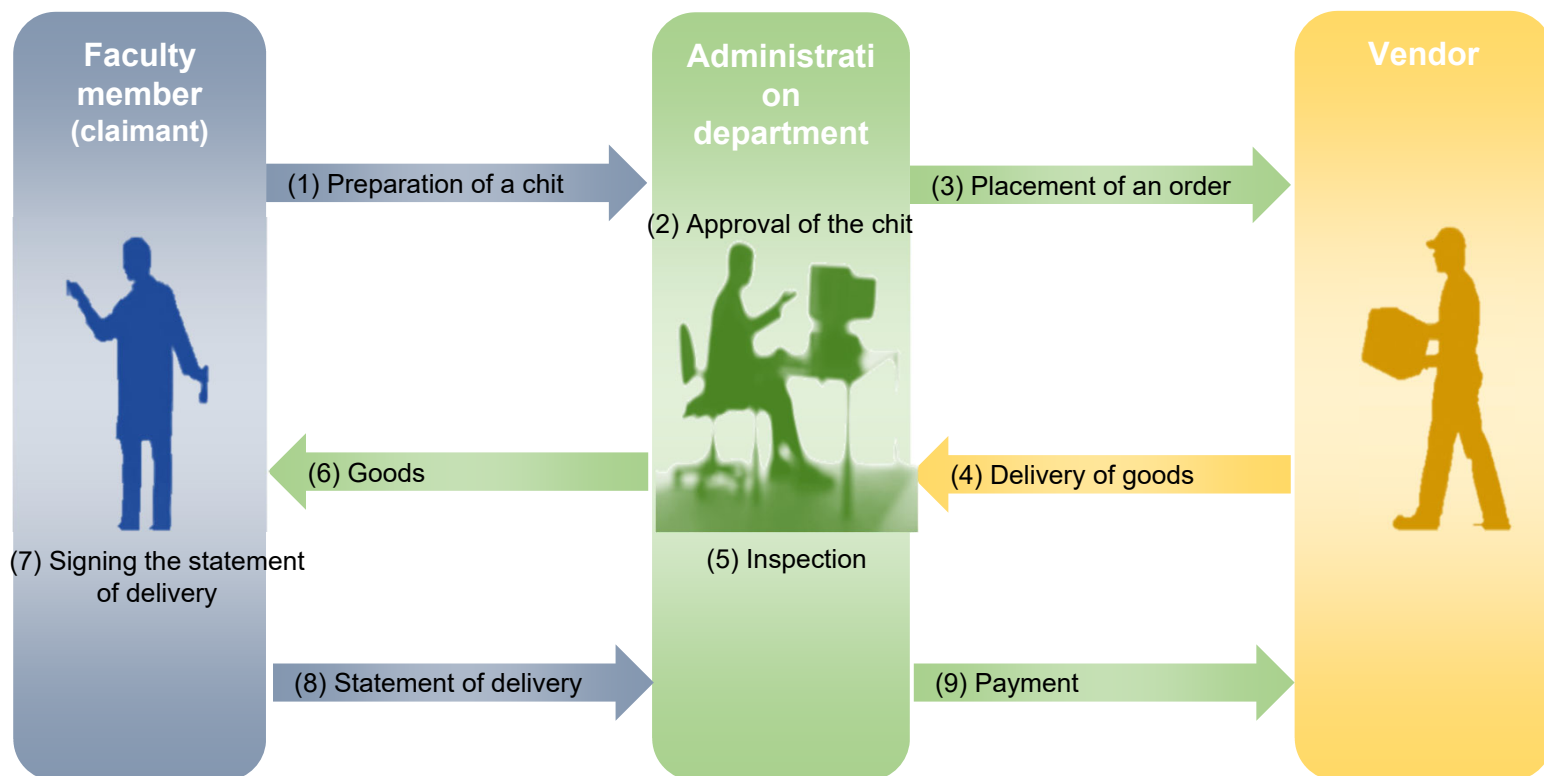
<All personnel dealing with any expenses processed by the university's accounting activities must adhere to the following notice when expensing any budget.>

1. Use the budget only for its pre-determined purpose, as all budgets are allocated for specific purposes. Make efforts to control budgets and spend them while following the plan.
2. When spending a budget that is restricted by specific rules, make sure to follow the rules
3. All orders must be placed by administrative personnel. Teaching personnel are not permitted to place orders. All ordered items must first be delivered to administrative personnel and inspected by them.
4. Do not force vendors to pay a deposit or store goods on behalf of the university by making them return delivered items.
5. Do not make fictitious claims about paying for fictitious business trips and honorariums that are not accurate.
6. Submit receipts and evidentiary documents required for reimbursement of travel expenses.
7. After a business trip, submit a business trip report by attaching necessary information and relevant documents without delay.
8. When paying an honorarium, submit an "Honorarium Payment Plan" to administrative personnel in advance.
9. Any personnel in charge of paying an honorarium must make sure to confirm execution of the plan by the relevant staff.
10. When receiving any research grants, process the donation procedure without delay and make sure to deposit the grant to the university account.
11. When witnessing any injustice or possibility of injustice on any expenses processed by this university's accounting activities, immediately notify the whistleblowing contact desk at the university.

2. Flow of Expenses Paid from University Accounts

Purchasing of Goods

The basic flow for purchasing goods is shown below.

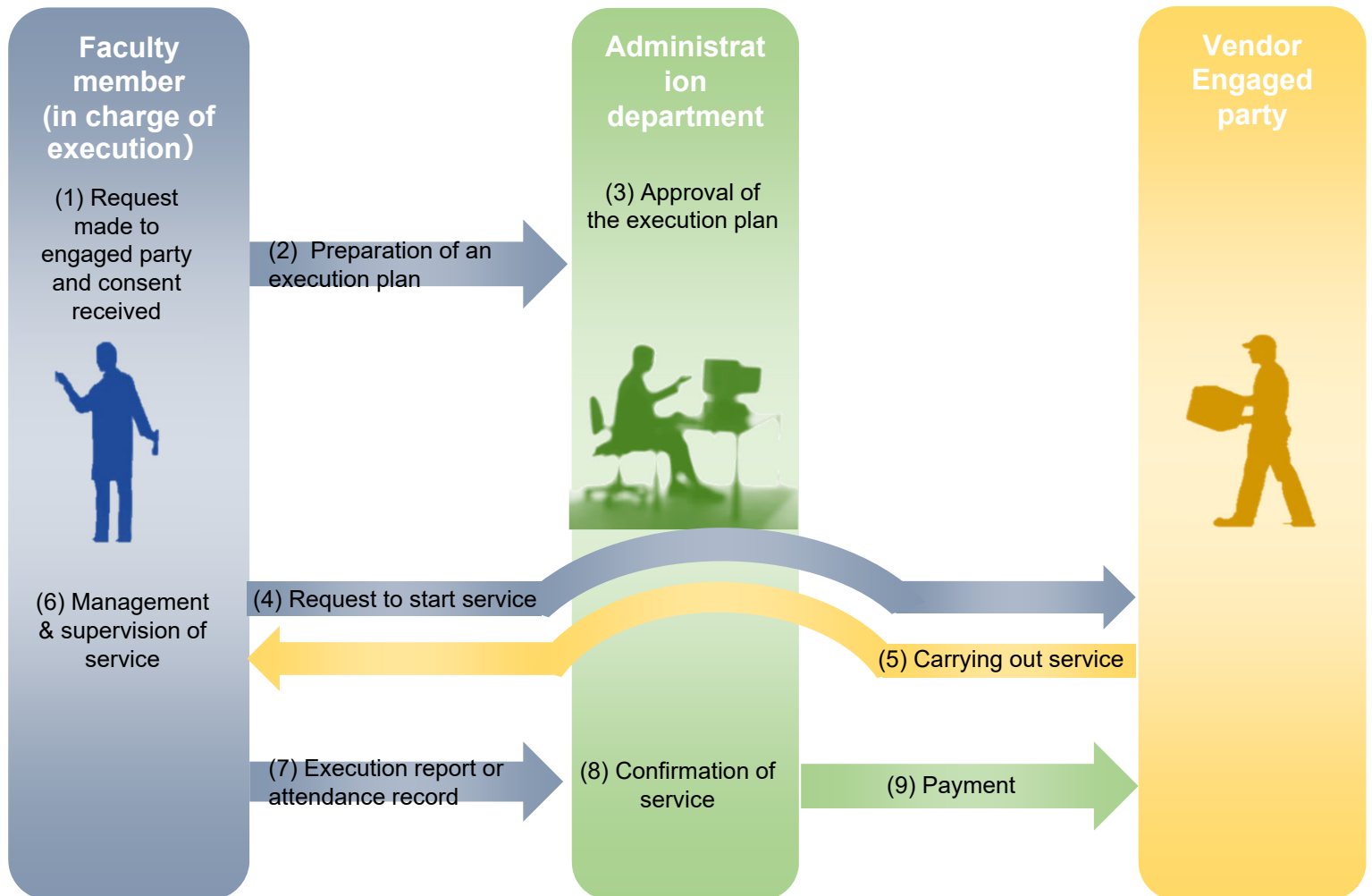


Please note the matters stated below when purchasing goods.

- The university **does not permit faculty members to place orders directly with vendors.** The authority to place orders resides with the administration staff in charge. (It is illegal to require vendors to bear the increased portion of consumption tax.)
- **Each budget has different specified purposes.** Choose the appropriate budget in light of the use of the goods to be purchased.
- **Some types of expenses cannot be paid** from external funds. Please check the rules for using the funds in advance.
- As some goods take a long time to be delivered, please make purchasing requests well in advance.
- The delivered goods are handed over to the relevant faculty member after being inspected by the administration staff in charge. **If the statement of delivery does not have a seal of inspection, please contact the administration staff in charge in your division.**

Remuneration

The basic flow for the payment of remuneration is shown below.



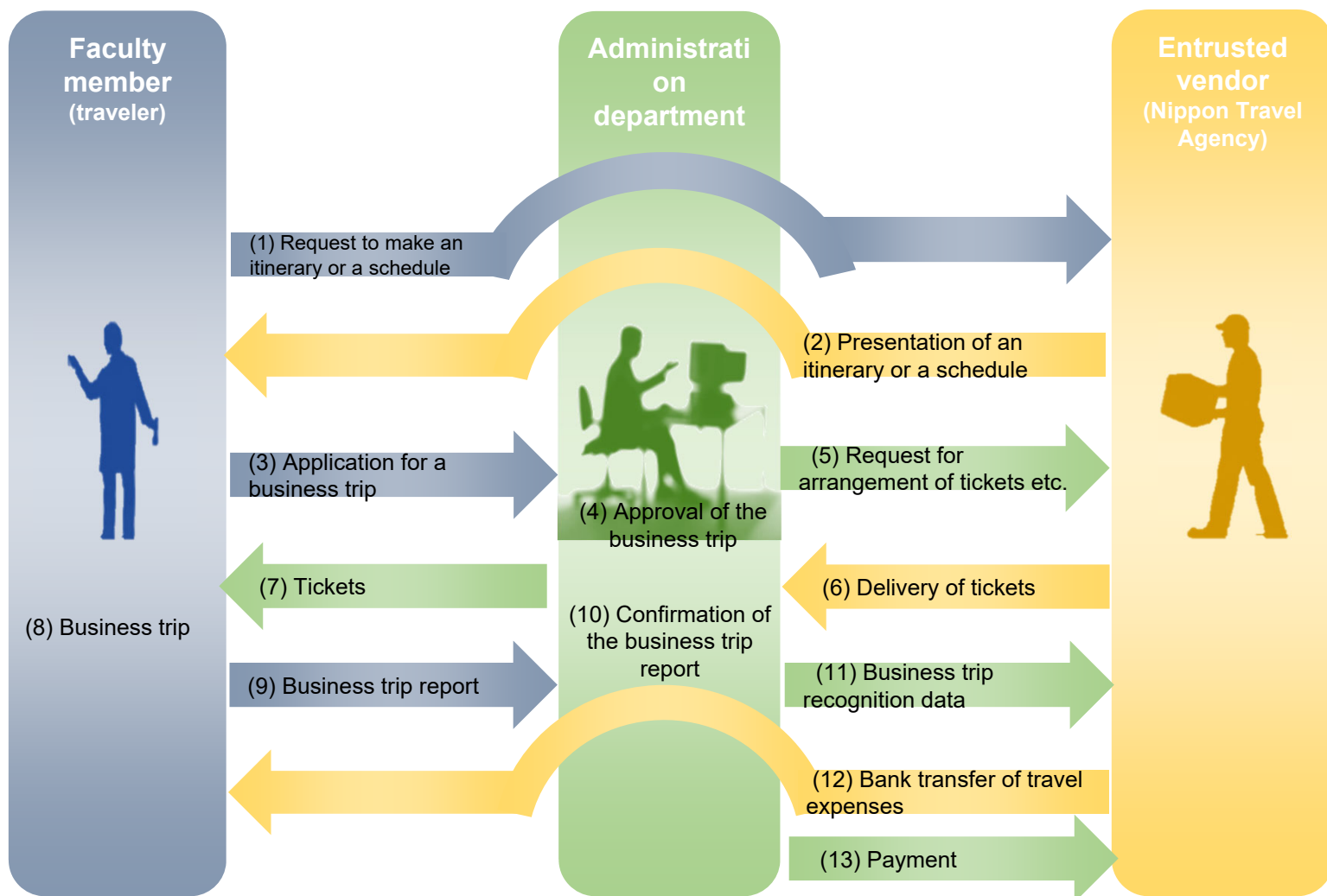
Please note the matters stated below when remuneration is paid.

- Please present materials stating the schedule and contents of the planned service or lecture session to the administration staff in charge in your division when registering the execution plan.
- **Each budget has different specified purposes.** Choose the appropriate budget in light of the purpose of the service to be executed.
- **Some types of expenses cannot be paid** from external funds. Please check the rules for using the funds in advance.
- While the performance of remunerated services is underway, **please manage and supervise the service so that service hours of the engaged parties will be appropriate.**
- When remuneration is paid for a lecture, attach a pamphlet or a leaflet stating the details of the relevant lecture (date/time, place, the name of the lecturer, etc.) to the execution report.

2. Flow of Expenses Paid from University Accounts

Travel Expenses

The basic flow for the application for travel expenses¹ is shown below.



¹ Application for business trips are made with a budget execution support system and “Shucchou Navi” (Business Trip Navigator).

Please note the matters stated below when making an application for travel expenses.

- Documentary evidence to prove the trip (business) occurred and proof of expenses actually incurred must be presented. Please submit such evidence together with a business trip report to the administration staff in charge at your division.
- Each budget has different specified purposes. Choose the appropriate budget in light of the purpose of the business trip.
- Some types of expenses cannot be paid from external funds. Please check the rules for using the funds in advance.

3. The system that the research fund can be utilized more smoothly

By research funding, etc. There is a system, such as will be described next is.

By using this system, it is possible to carry out further smooth research activities.

However, we can not use these systems at all of the Research Fund. Please check with the responsible office clerk belongs to beforehand.

Advance payment for expenditure before grant Issuance

To ensure the smooth promotion of research projects, temporary advance payment using Kanazawa University funds can be made until a grant is issued. Contact the Administration Office of the relevant faculty, school, etc. if advance payment is required.

Combination with other forms of expenditure

Cost burdens must be separated for individual projects where possible. In principal, multiple competitive funds and similar may not be combined.



However, some types of research funding may be combined if certain requirements are fulfilled.

Carry-over of Grants-in-aid for Scientific Research

4. Prohibitions

Examples of Illegal Use and Countermeasures

False accounting is an illegal act involving an attempt to gain funds unfairly by making a false report or application without actual transactions. Such an act could result in a serious penalty not only for the researcher himself/herself but also for the university.

	 Examples of illegal use	Points 
Costs of supplies	<ul style="list-style-type: none"> • Have a vendor manage the remainder of the research funds and use them for purchasing goods in following years. • Have a vendor deliver goods despite a lack of research funds in the relevant year and pay for them in the following year. • Have a vendor prepare a false statement of delivery stating different goods when the cost of the goods actually purchased cannot be paid from competitive funds because of the rules set for the funds. 	<ul style="list-style-type: none"> • Execute the budget in a carefully planned manner and only use the carryover system after consultation with the administration staff in charge at your division. • If you cannot use up public research funds such as competitive funds by the end of the relevant fiscal year and so return the remainder, it will not negatively affect your selection chances in following years. • For research projects sponsored by the national government or another organization where the payment of funds will be made after a certain period of time, the university has a system for lending out university funds until the payment of the public funds is made so that the research can be started.
Travel expenses	<ul style="list-style-type: none"> • Claim and receive unwarranted additional travel expenses by reporting a period of travel that is longer than the actual period. • Claim travel expenses to the university, even though it have been paid from the other organization. 	<ul style="list-style-type: none"> • In the business trip report, be sure to enter details that can be used to verify that you actually went on the business trip (name of persons you met, their organizations, and places/details/times of meetings). • If you travel by air or use a packaged tour, you will need to present boarding passes, receipts or a document stating the breakdown of the amount paid as documentary evidence.
Personnel expenses	<ul style="list-style-type: none"> • Falsely enter into the attendance register an amount of working hours that is greater than the actual working hours for the payment of salaries to cooperating researchers. • Claim and receive remuneration for an activity that did not take place. • Have students falsely enter into the attendance register an amount of working hours that is greater than the actual working hours, collect the extra amount of payment from the students and manage the funds in the laboratory. 	<ul style="list-style-type: none"> • Make an entry in and put your seal on the attendance register each day. • If the officer in charge of execution is absent due to a business trip or for other reasons, a faculty member shall on his/her behalf confirm the execution of the work and put his/her seal of confirmation on the relevant documents. • Management of non-regular employees including their work attendance must not be left to respective laboratories. The relevant administration department shall interview them at the time of employment and explain their working conditions. The administration department shall then continue to interview such employees periodically and check their attendance records and work details.

Improper Accounting

“Improper accounting” refers to accounting that is not performed in compliance with the rules set by the university. Such accounting could invite suspicion of illegal accounting, so please double-check the university rules.



Examples of illegal use

Points

Individual accounting

Refers to accounting by an individual of research grants offered to him/her, without the involvement of the university. Go through a procedure for donating the funds, if necessary .

- Individual accounting of research grants is a serious violation of the rules that has been pointed to by the Board of Audit of Japan as an improper act.
- Please contact the accounting staff in your division when you apply for a research grant.
- If your application for a research grant is accepted and the grant is used for education/research activities, it should be managed by an organization.

Orders by faculty members

The university does not allow faculty members to place orders. Be sure to request the assistance of your administration division.

- Placement of orders is an act accompanied by accountability concerning the contract amount and selection of the supplier.
- Under the accounting regulations, only the person entrusted with contract administration (= accounting staff member in the relevant division) can place orders for goods.
- Regardless of the amount, no faculty member himself/herself can place an order directly with a vendor.

Inspection of delivered goods

Inspection of delivered goods is the responsibility of the designated department.

- The person in charge of inspection is supposed to confirm that the ordered goods have been delivered and attach his/her seal of inspection.
- Goods without a seal of inspection are not recognized as delivered.
- When the relevant laboratory receives the goods after inspection and confirmation, the person receiving them should attach his/her seal or signature to the statement of delivery.

5. Penalties for Illegal Use

If improper accounting is applied to research funds, the researcher and the university as a research institution may be subjected to some of the penalties stated below.

- Punishment in compliance with work rules and other regulations (reduction of salary, suspension from work, dismissal, etc.)
- Announcement of the offender's name and other information (outside the university)
- The university and researchers: Cancellation of grant and repayment of expenses
- Researchers: Restriction on application for and rights of participation in competitive funding programs (10 years maximum)
- If any deficiency is detected in the expense management system, the university may be required to reduce indirect costs (15% maximum) or allocation of competitive funds to the university may be suspended.
- The corporate value of the university may be damaged (national university corporation evaluation, certified evaluation, etc.)

☞ **Will affect the amount of official operating expenses grant!**

6. Contact Point for Whistleblowing

Whistleblowing reports (concerning illegal use of research funds)

Whistleblowing reports can be made to any of the following contacts by email or by letter sealed in an envelope marked "confidential." In principle, the whistleblower should be identified by his or her real name.

Contact:

- (1) Dedicated email address: koueki@adm.kanazawa-u.ac.jp
- (2) Letter in sealed envelope
 1. General Counseling Office, Kanazawa University
(Kakuma-machi, Kanazawa City 920-1192)
 2. Legal adviser (Mitsuyo Matsuda, Attorney at Law)
(Matsuda Law Patent Office, 3-24, kenrokumoto-machi, Kanazawa City 920-0931)

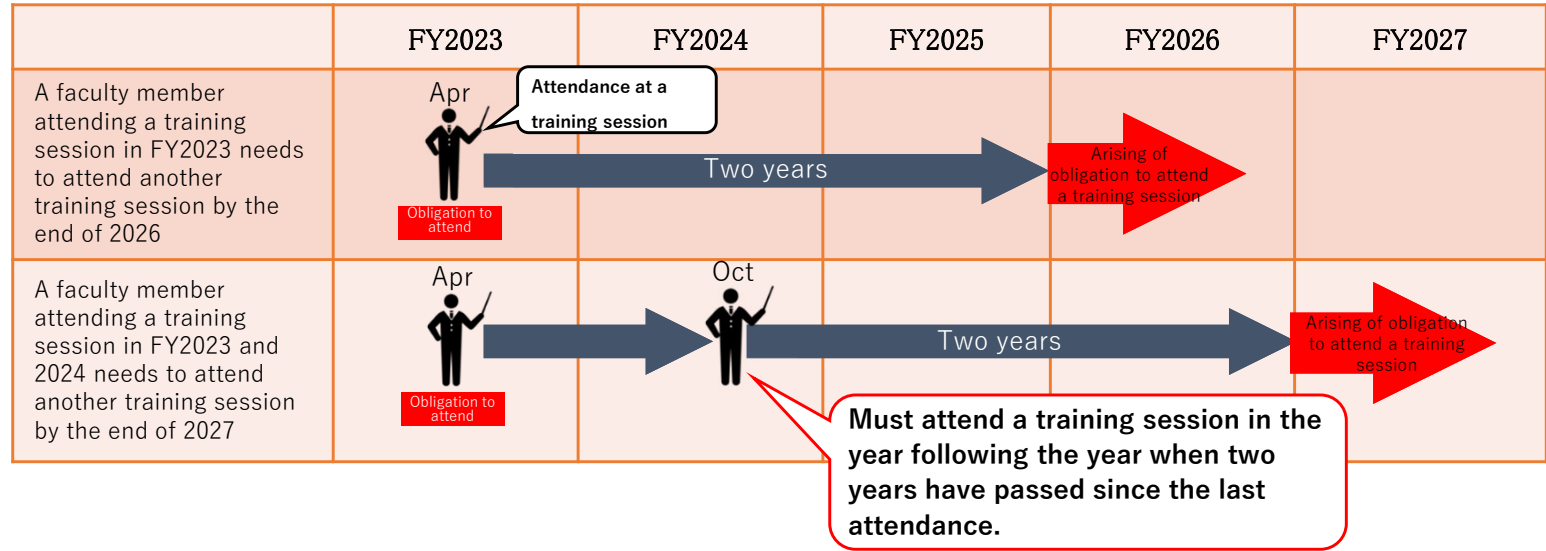
7. Attendance at Additional Training Session

[Cases where additional attendance is necessary]

- When significant amendments have been made to the Basic Guidelines for Proper Control of Research Funds, etc.
- When two years have passed since the last attendance

[Examples]

When no significant amendments have been made to the Basic Guidelines for Proper Control of Research Funds, etc.



8. Submission of Declaration

All faculty members who will use funds administered by the university are required to submit a Declaration. If you submit, you will be eligible to apply for public research funds. If you do not submit, you may not use any funds administered by the university. An example of the Declaration is provided below.

To: The President of the National University Corporation Kanazawa University

Declaration on the Prevention of the Illegal Use of "Any Expenses Processed in Kanazawa University's Accounting Activities"

As a member of Kanazawa University's personnel, I hereby swear to comply with the items written below as well as the "Important Notice on the Use of Any Expenses Processed in Kanazawa University's Accounting Activities". In the event that any illegal acts are found, I will accept all disciplinary actions based on the university's rules and take legal responsibility and appropriate actions toward the institutions providing research funds.

Pledge

1. Regarding the use of any expenses processed by Kanazawa University's accounting activities, I will comply with all laws and regulations, social imperatives, university rules and any other rules concerning the uses of the expenses. I will endeavor to earn the trust of society and refrain from committing any act of injustice.
2. I will participate in training sessions on handling all expenses processed by Kanazawa University's accounting activities and fulfill my obligations with regard to taking the training. Furthermore, I will make efforts to enhance my understanding of laws, regulations, university rules and any other rules concerning the use of expenses that I must comply with upon the use of research funds.

Name : _____

Affiliation: _____

Date : _____

9. Contact Point for Expenses

Contact Point for Expenses is shown below.

【予】 : Budget in general

【研】 : Application to Grants-in-Aid for Scientific Research (KAKENHI), Funded Research, Joint Collaborative Research, Donations, etc.

【契】 : Purchasing of Goods

【旅】 : Application to Travel Expenses

【謝】 : Remuneration

2024/04/01

Department	Contents	Contact Point	Mail
Institute of Transdisciplinary Sciences for Innovation/The Frontier Institute of Tourism Sciences	【予】 【研】 【契】 【謝】	Accounting Section, General Affairs Division, Transdisciplinary Sciences Administration Department	yugokeiri@adm.kanazawa-u.ac.jp
	【旅】	General Affairs Section, General Affairs Division, Transdisciplinary Sciences Administration Department	yugosomu@adm.kanazawa-u.ac.jp
Institute of Human and Social Sciences / Institute for the Study of Ancient Civilizations and Cultural Resources	【予】 【研】 【謝】	General Affairs Division, Human and Social Administration Department	n-keiri@adm.kanazawa-u.ac.jp
	【契】	General Affairs Division, Human and Social Administration Department	n-tyot@adm.kanazawa-u.ac.jp
	【旅】	General Affairs Division, Human and Social Administration Department	n-somu@adm.kanazawa-u.ac.jp
Affiliated school, Institute of Human and Social Sciences	【予】 【研】 【謝】 【旅】	Affiliated school Section, General Affairs Division, Human and Social Administration Department	edfuzo1@adm.kanazawa-u.ac.jp
	【契】	General Affairs Division, Human and Social Administration Department	n-tyot@adm.kanazawa-u.ac.jp
Institute of Science and Engineering / Nanomaterials Research Institute / Advanced Manufacturing Technology Institute / Advanced Mobility Research Institute / Institute of Nature and Environmental Technology / Frontier Science and Social Co-creation Initiative (V・B・L) / Low Temperature Laboratory / Technical Support Center	【予】 【研】 【謝】 (※1)	Accounting Section, General Affairs Division, Science and Engineering Administration Department	s-keiri@adm.kanazawa-u.ac.jp
	【予】 【研】 【謝】 (※2)	Research Cooperative Affairs Section, General Affairs Division, Science and Engineering Administration Department	s-kenkyo@adm.kanazawa-u.ac.jp
	【契】	Procurement Section, General Affairs Division, Science and Engineering Administration Department	s-tyot@adm.kanazawa-u.ac.jp
	【旅】	General Affairs Section, General Affairs Division, Science and Engineering Administration Department	s-somu@adm.kanazawa-u.ac.jp
Faculty of Medicine, Institute of Medical, Pharmaceutical and Health Sciences / Research Center for Experimental Modeling of Human/ Research Center for Child Mental Development/ Advanced Preventive Medical Sciences Research Center	【予】 【研】 【謝】	Accounting Section, General Affairs Division, Medical, Pharmaceutical and Health Administration Department	t-keiri@adm.kanazawa-u.ac.jp
	【契】	Procurement Section, General Affairs Division, Medical, Pharmaceutical and Health Administration Department	t-tyot@adm.kanazawa-u.ac.jp
	【旅】	General Affairs Section, General Affairs Division, Medical, Pharmaceutical and Health Administration Department	t-isomu@adm.kanazawa-u.ac.jp
Research Center for Experimental Modeling of Human (RI of Science and Engineering)	【予】 【研】 【謝】	Accounting Section, General Affairs Division, Medical, Pharmaceutical and Health Administration Department	t-keiri@adm.kanazawa-u.ac.jp
	【契】	Procurement Section, General Affairs Division, Science and Engineering Administration Department	s-tyot@adm.kanazawa-u.ac.jp
	【旅】	General Affairs Section, General Affairs Division, Medical, Pharmaceutical and Health Administration Department	t-isomu@adm.kanazawa-u.ac.jp

9. Contact Point for Expenses

Department	contents	Contact Point	Mail
Research Center for Experimental Modeling of Human (Equipment analysis)	【予】 【研】 【謝】	Accounting Section, General Affairs Division, Medical, Pharmaceutical and Health Administration Department	t-keiri@adm.kanazawa-u.ac.jp
	【契】	Accounting Section, Faculty of Pharmacy and Cancer Research Institute Support Division, Medical, Pharmaceutical and Health Administration Department	y-kaikei@adm.kanazawa-u.ac.jp
	【旅】	General Affairs Section, General Affairs Division, Medical, Pharmaceutical and Health Administration Department	t-isomu@adm.kanazawa-u.ac.jp
Faculty of Pharmacy, Institute of Medical, Pharmaceutical and Health Sciences/Cancer Research Institute	【予】 ^(※1) 【契】	Accounting Section, Faculty of Pharmacy and Cancer Research Institute Support Division, Medical, Pharmaceutical and Health Administration Department	y-kaikei@adm.kanazawa-u.ac.jp
	【予】 ^(※2) 【研】 【謝】	Research Cooperative Affairs Section, Faculty of Pharmacy and Cancer Research Institute Support Division, Medical, Pharmaceutical and Health Administration Department	y-kenkyo@adm.kanazawa-u.ac.jp
	【旅】	General Affairs Section, Faculty of Pharmacy and Cancer Research Institute Support Division, Medical, Pharmaceutical and Health Administration Department	y-somu@adm.kanazawa-u.ac.jp
Faculty of Health Sciences, Institute of Medical, Pharmaceutical and Health Sciences	【予】 【研】 【謝】	Accounting Section, Faculty of Health Sciences Support Division, Medical, Pharmaceutical and Health Administration Department	t-hkeiri@adm.kanazawa-u.ac.jp
	【契】	Procurement Section, General Affairs Division, Medical, Pharmaceutical and Health Administration Department	t-tyot@adm.kanazawa-u.ac.jp
	【旅】	General Affairs Section, Faculty of Health Sciences Support Division, Medical, Pharmaceutical and Health Administration Department	t-hsomu@adm.kanazawa-u.ac.jp
Institute of Liberal Arts and Science	【予】 【研】 【契】 【旅】 【謝】	Liberal Arts and Sciences Management Section, General Education Support Division, Student Affairs Department	stkanri@adm.kanazawa-u.ac.jp
University Museum	【予】 【研】 【旅】 【謝】	Academic Information Division, General Affairs Department	insomu@adm.kanazawa-u.ac.jp
University Hospital	【予】 【研】 【謝】 ^(※3)	Accounting General Affairs Section, Hospital Management Division, Hospital Department	hpkansa@adm.kanazawa-u.ac.jp
	【予】 【研】 【謝】 ^(※4)	Clinical Trial Management Section, Hospital Management Division, Hospital Department	irb@adm.kanazawa-u.ac.jp
	【予】 【研】 【謝】 ^(※5)	Budget Planning Section, Hospital Management Division, Hospital Department	hpyosan@adm.kanazawa-u.ac.jp
	【契】	Procurement Management Section, Hospital Management Division, Hospital Department	hptyot@adm.kanazawa-u.ac.jp
	【旅】	General Affairs Section, General Affairs Division, Hospital Department	hpsomu@adm.kanazawa-u.ac.jp
Emerging Media Initiative	【予】 【研】 【契】 【旅】 【謝】	Information Technology Promotion Office	jyosui@adm.kanazawa-u.ac.jp
Environment Preservation Center / Facilities Department	【予】 【研】 【契】 【旅】 【謝】	General Affairs Section, Facility Planning Division, Facilities Department	fasomu@adm.kanazawa-u.ac.jp
Health Service Center	【予】 【研】 【契】 【旅】 【謝】	Student Service Section, Student Support Division, Student Affairs Department	soudan@adm.kanazawa-u.ac.jp
Institute for Frontier Science Initiative	【予】 【研】 【契】 【旅】 【謝】	Research Support Division, Research Promotion Department	rinf@adm.kanazawa-u.ac.jp

9. Contact Point for Expenses

Department	contents	Contact Point	Mail
Nano Life Science Institute	【予】【研】【契】 【謝】	Finance Group, Nano Life Science Institute Administration Office	nanoyosan@adm.kanazawa-u.ac.jp
	【旅】	General Affairs Group, Nano Life Science Institute Administration Office	nanosomu@adm.kanazawa-u.ac.jp
Institute for Promotion of Diversity and Inclusion	【予】【研】【契】 【旅】【謝】	Labor and Benefits Section, Personnel Labor Division, General Affairs Department	diversity@adm.kanazawa-u.ac.jp
Interfaculty Institute for Frontier Science/ Research Promotion Department	【予】【研】【契】 【旅】【謝】	Research Planning Division, Research Promotion Department	rkikaku@adm.kanazawa-u.ac.jp
Frontier Science and Social Co-creation Initiative	【予】【研】【契】 【旅】【謝】	Research Support Division, Research promotion Department	rfssi@adm.kanazawa-u.ac.jp
Experimental Research Center for Envisioning the Future/Social Co-creation Promotion Department	【予】【研】【契】 【旅】【謝】	Social Co-creation Planning Division, Social Co- creation Promotion Department	kyousoukikaku@adm.kanazawa-u.ac.jp
Graduate School of Frontier Science Initiative ^(※6)	【予】【契】【旅】 【謝】	Accounting section, General Affairs Division, Transdisciplinary Sciences Administration Department	yugokeiri@adm.kanazawa-u.ac.jp
Interfaculty Institute for Future Education/Center for Management of Teaching and Learning / Articulation Center for High School and University / Nomi Seminar House/Student Affairs Department	【予】【研】【契】 【旅】【謝】	General Affairs Section, Educational and Student Affairs Division, Educational and Student Affairs Department	stsomu@adm.kanazawa-u.ac.jp
General Affairs Department (incl. Corporative Audit Office, Planning and Evaluation Office, Secretarial Office, Public Relations Strategy Office, Foundation and Alumni Office, General Consultation Office and Information Technology Promotion Office)	【予】【研】【契】 【旅】【謝】	General Affairs Section, General Affairs Division, General Affairs Department	glsomu@adm.kanazawa-u.ac.jp
Finance Department	【予】【研】【契】 【旅】【謝】	Financial Affairs General Section, Financial Planning Division, Finance Department	fisokatu@adm.kanazawa-u.ac.jp
International Research Center for Japan Studies/ International Relations Department	【予】【研】【契】 【旅】【謝】	International Planning Division, International Relations Department	kokukou@adm.kanazawa-u.ac.jp
Top Global University Project Planning and Promotion Headquarters	【予】【研】【契】 【旅】【謝】	International Planning Division, International Relations Department	kokukou@adm.kanazawa-u.ac.jp

9. Contact Point for Expenses

Each department common		
Contents	Contact Point	Mail
Book purchase	Academic Information Division, General Affairs Department	intosyo@adm.kanazawa-u.ac.jp
Purchase magazines	Academic Information Division, General Affairs Department	inzassi@adm.kanazawa-u.ac.jp
Others	Finance General Affairs Section, Financial Planning Division, Finance Department	fsokatu@adm.kanazawa-u.ac.jp

※1 About Management Expenses Grants ・ Donated funds

※2 About KAKENHI ・ Commissioned research ・ Joint research ・ External funds exc. (except Donated funds)

※3 About KAKENHI

※4 About Commissioned research (Medical supplies, Quality such as medical equipment, Clinical study based on Pharmaceutical Affairs Law)

※5 About Management Expenses Grants ・ Donated funds ・ Commissioned research (except Medical supplies, Quality such as medical equipment, Clinical study based on Pharmaceutical Affairs Law) ・ Joint research ・ External funds exc.

※6 About expenses of the Graduate School of Frontier Science Initiative (regardless of department)

10. Three Rules You Need to Know

I . Code of Conduct for Researchers at Kanazawa University

Code of Conduct for Researchers at Kanazawa University

As set forth in the University, Kanazawa University defines its position as “a research university dedicated to education, while opening up its doors to both local and global society”, where we shall endeavor to cultivate distinguished intellect, ranging from that of fundamental research dealing with pursuit of truth to that of research directly connected to technology. At the same time, we shall provide its members with an environment suitable for carrying out research independently guaranteeing the academic freedom and healthy competition. As academic freedom resides on the premise of public trust and the mandate of the people, as pronounced in the “Code of Conduct for Scientists” promulgated by the Science Council of Japan, our researchers in the University must establish ethical norms to strictly control their own conduct, while fulfilling their obligation of accountability to society and consciously taking part in building and maintaining sound relationships between science and society.

With the view to realizing such a philosophy and objectives, we hereby institute our Code of Conduct for Researchers at Kanazawa University.

(Responsibilities of Researchers)

1. Researchers shall recognize that they are responsible for assuring the quality of the specialized knowledge and skills that they themselves create, and for using their expert knowledge, skills and experience to contribute to the health and welfare of humankind, the safety and security of society and the sustainability of the global environment.

(Conduct of Researchers)

2. Researchers shall recognize that scientific autonomy is upheld by public trust and the mandate of the people, and shall always make judgments and act with honesty and integrity. Moreover, researchers shall make the utmost effort to scientifically and objectively demonstrate the accuracy and validity of the knowledge they create through scientific research, and shall actively participate in mutual quality assurance such as peer reviews in the scientific community, especially in their respective fields of expertise.

(Continuous Professional Development)

3. As well as endeavoring to maintain and improve their own expertise, abilities and skills, researchers shall constantly strive to understand the relationships between science, technology, society and the natural environment from a wide-ranging perspective, and to demonstrate the best judgments and attitudes at all times.

(Accountability and Disclosure)

4. Researchers shall strive to disclose and actively explain the roles and significance of their own research, evaluate the possible effects of their research on people, society and the environment

10. Three Rules You Need to Know

(II. Code of Conduct for Researchers at Kanazawa University)

as well as the changes that their research might engender, neutrally and objectively disclose the results of this evaluation, and build a constructive dialog with society.

(Research Activities)

5. Researchers shall act with integrity according to the spirit of this Code of Conduct in drafting, planning, applying for, implementing and reporting their own research, ensure that research and survey data are recorded, stored and rigorously handled, and not only refrain themselves from any misconduct such as fabrication, falsification or plagiarism, but also refrain from aiding or abetting such misconduct.

(Establishing Sound Research Environments)

6. Researchers shall recognize that establishing and maintaining fair research environments where responsible research can be conducted is one of their important duties, and shall actively participate in efforts to improve the quality of research environments in the scientific community and their own institutions. Moreover, they shall also seek the understanding and cooperation of the public in achieving these goals.

(Compliance with Laws and Regulations)

7. Researchers shall observe all laws, regulations and relevant rules in their activities, including the implementation of research and the use of research funds.

(Consideration for Research Subjects)

8. Researchers shall respect the dignity and rights of individuals who cooperate with their research, and shall safeguard and give proper consideration to their welfare. They shall also treat animals and other research subjects with all due care and respect.

(Relations with Others)

9. Researchers shall evaluate the results of research made by others with critical mind and, at the same time, humbly listen to the criticism of their research and activities from others, and exchange opinions with an attitude of sincerity, as well as respecting the honor and intellectual property rights of others.

(Rejection of Discrimination)

10. In their research, education and academic society activities, researchers shall respond to others fairly on a scientific basis, respect individual freedom and character, and not discriminate against individuals based on their race, gender, status, beliefs or religion.

(Avoiding Conflicts of Interest)

11. In their research, reviews, evaluations, judgments and other scientific activities, researchers shall pay sufficient heed to the presence of conflicts of interest between individuals and

10. Three Rules You Need to Know

(II. Code of Conduct for Researchers at Kanazawa University)

organizations, or between different organizations, and shall properly address problems paying all due attention to the public interest.

At the University, we shall make our best efforts in propagating this Code of Conduct and in providing an environment and regulations required for due compliance with this Code. We shall also conduct reviews from time to time to respond to the requirements of the time and society.

Jan 22nd, 2008

10. Three Rules You Need to Know

(Ⅱ. Basic Guidelines for Proper Control of Research Funds, etc.)

Ⅱ. Basic Guidelines for Proper Control of Research Funds, etc. at National University Corporation Kanazawa University

(Determined by the Board of Executives on July 16, 2021)

Basic Guidelines for Proper Control of Research Funds, etc. **at National University Corporation Kanazawa University**

October 1, 2012

Amended on October 17, 2014

Amended on September 18, 2015

Amended on July 16, 2021

National University Corporation Kanazawa University

10. Three Rules You Need to Know

(Ⅱ. Basic Guidelines for Proper Control of Research Funds, etc.)

1. Measures concerning code of conduct of faculty members

The National University Corporation Kanazawa University (hereinafter referred to as “the University”) holds as its basic policy the following: to be “a university endeavoring to maintain and innovate the intellectual inheritance of humanity while opening its doors to both the local and global society.” Moreover, it pursues the goal of becoming “a research university dedicated to education.” In addition, it must be mindful of the trust and mandate granted by the local community and society at large and act responsibly while remaining accountable to society.

Taking the above into consideration, all faculty members (including those working under a staffing contract) shall observe the “Basic Guidelines for Proper Control of Research Funds, etc. (hereinafter referred to as the “Basic Guidelines”),” “Employee Work Regulations,” “Work Regulations for Non-regular Employees” and “Employee Code of Ethics.” Researchers shall also observe the “Code of Conduct for Researchers” and “Prevention of Improper Conduct in Research Activities Policy of Kanazawa University” In addition, in terms of University accounting, to achieve the eradication of improper conduct of expenditures, research funds, commencing public-subscription-type research funds, educational expenses and administration costs (hereinafter referred to as “Research Funds, etc.”), faculty members shall abide by the following:

- (1) Faculty members shall endeavor to ensure their credibility with society, devoting themselves to the sound and proper execution of services.
- (2) Faculty members working with Research Funds, etc. shall understand and respect the purposes, etc. of research assistance (support, entrustment) and shall endeavor to execute their duties effectively.
- (3) Faculty members shall strive to prevent the recurrence of improper conduct by immediately reporting to the University any occurrence or possible occurrence of improper conduct, by publicizing the facts of the improper conduct and by taking corrective measures to prevent reoccurrence.

2. System of responsibility

For appropriate operation and administration of Research Funds, etc. (including the promotion of compliance), the responsibilities and authorities of those engaged in the operation and administration of the University shall be as stipulated below.

It should be noted that if the Chief Administrative Officer, Overall Administration Manager, Departmental Administrator or Vice Departmental Administrator allows improper conduct to occur as a result of failing to fulfill his/her managerial or administrative responsibilities in the course of performing his/her respective duties, he/she will be deemed responsible for the improper conduct.

- 1) [Chief Administrative Officer] President
[Responsibility and authority]

10. Three Rules You Need to Know

(Ⅱ. Basic Guidelines for Proper Control of Research Funds, etc.)

- (1) To preside over the University as a whole and take ultimate responsibility for the operation and administration of Research Funds, etc.
 - (2) To demonstrate functional leadership conducive to the operation and administration of Research Funds, etc. by general administration managers and section managers.
 - (3) In preparing the Basic Guidelines and concrete illegal conduct prevention measures, to lead deliberations at the Board of Executives, etc. and deepen discussions with executives regarding the implementation status and effects.
 - (4) To regularly carry out various enlightenment activities, such as encouraging efforts to prevent illegal conduct, to raise and disseminate awareness of all faculty members.
- 2) [Overall Administration Manager] Vice President (Finance)
[Responsibility and authority]
- (1) To support the Chief Administrative Officer, preside over the University as a whole in the operation and administration of Research Funds, etc., and report to the Chief Administrative Officer regarding the actual operation and management of Research Funds, etc.
 - (2) To monitor the implementation by each division of measures stated in the illegal conduct prevention plan and give directions for improvement if necessary.
 - (3) To prepare and implement compliance education and enlightenment activities for the University as a whole.
- 3) [Departmental Administrator] Persons responsible for budget, specified in Article 13 of the Accounting Regulations of National University Corporation Kanazawa University (as per attached)
[Responsibility and authority]
- (1) To preside over the relevant budget department as a whole in the operation and administration of Research Funds, etc. within the department and report to the Overall Administration Manager regarding the actual operation and management of Research Funds, etc. in the department.
 - (2) To supervise the implementation of measures stated in the illegal conduct prevention plan by the department, conduct necessary monitoring, and order improvement as needed.
 - (3) To organize compliance education for the department and manage/control attendance thereof, and regularly prepare and implement enlightenment activities.
- 4) [Vice Departmental Administrator] Chairs of institutes, etc. (as shown in the attached table)
Institutes: Chairs, center directors of institutes
Other than institutes: Named by the Departmental Administrator
Administration departments: The Department Communication Coordinator will act concurrently as the Vice Departmental Administrator
- [Responsibility and authority] To support the Departmental Administrator in the operation and administration of Research Funds, etc. within his/her budget department.

10. Three Rules You Need to Know

(II. Basic Guidelines for Proper Control of Research Funds, etc.)

- 5) [Department Communication Coordinator] Persons responsible for accounting in charge of each accounting division (as per attached)

[Responsibility and authority] To assist the Departmental Administrator with regard to practical business matters and to summarize factors, etc. inducing improper conduct.

- 6) [Auditor] Auditor

[Responsibility and authority] To check the improvement and administration status of internal controls related to illegal conduct prevention from the perspective of the University as a whole, and state his/her opinions.

3. Preparation and implementation of an illegal conduct prevention plan, etc.

- (1) Establishment of a promotion committee to develop a plan to prevent illegal conduct pertaining to Research Funds, etc.

The Chief Administration Officer shall proactively control and participate in the progress management of an illegal conduct prevention plan and organize a promotion committee to develop an illegal conduct prevention plan (hereinafter referred to as the "Promotion Committee") headed by the Overall Administrator.

- (2) Preparation of an illegal conduct prevention plan, etc.

The Promotion Committee shall independently prepare an illegal conduct prevention plan, and plans for compliance education and enlightenment activities (hereinafter referred to as the "illegal conduct prevention plan, etc.") to correspond to the factors of illegal conduct and develop a culture to prevent it throughout the University. The illegal conduct prevention plan is positioned as the highest level of concrete measures for the University as a whole.

- (3) Implementation of the illegal conduct prevention plan, etc.

The Promotion Committee shall publicize the prepared illegal conduct prevention plan, etc. within each department, etc. and each department, etc. shall implement the plan and endeavor to perform the proper administration and operation of Research Funds, etc.

- (4) Investigation regarding illegal use

The Promotion Committee shall carry out university-wide investigations regarding illegal use, if necessary.

- (5) Formulation of recurrence prevention plan

In the event improper conduct is detected, the Promotion Committee will devise recurrence prevention measures after discussion with the relevant department.

- (6) Cooperation with Auditor and Corporative Audit Office

The Promotion Committee shall strengthen cooperation with auditors, provide necessary information, etc., and provide opportunities for exchanging opinions when preparing, implementing, and reviewing the illegal conduct prevention plan, etc. In addition, the Promotion Committee shall systematically organize and evaluate the situation of the University as a whole in cooperation with the Corporative Audit Office.

10. Three Rules You Need to Know

(II. Basic Guidelines for Proper Control of Research Funds, etc.)

4. Measures for proper operation and administration

1) Observance of rules for operation

Faculty members working with Research Funds, etc. shall understand the basic principle that such Research Funds, etc. may include “taxpayer money” and that external funding, in principle, cannot be subject to private accounting. Further, they shall understand and observe the rules for each budget implementation.

2) Verification of budget implementation status and specification of expenditure resources

Faculty members working with Research Funds, etc. shall specify a budget at the payment request stage, adhere closely to the budget implementation plan and avoid significant delays in budget implementation as per the original plan so as to prevent misappropriation of funds.

3) Obligation to attend training sessions

Faculty members handling Research Funds, etc. must attend training sessions held at the University, such as a Briefing Session for Proper Control of Research Funds. Attendance at a training session is a requirement for application for publicly offered research funds, and none can be engaged in the operation and administration of Research Funds, etc. without attendance at such a training session. The names of relevant faculty members will be announced at a University meeting.

4) Presentation of a written declaration

(1) Faculty members handling Research Funds, etc. must present a written declaration concerning the prevention of illegal use of Research Funds, etc. The presentation of a written declaration is a requirement for application for publicly offered research funds, and none can be engaged in the operation and administration of Research Funds, etc. without the presentation of a written declaration. The names of relevant faculty members will be announced at a University meeting.

(2) A vendor whose transaction volume reaches the specified amount shall be obliged to present a written declaration concerning proper transactions.

5) Attendance at additional training sessions

In the event that significant amendments are made to the Basic Guidelines, faculty members handling Research Funds, etc. shall attend training sessions held at the University, such as a Briefing Session for Proper Control of Research Funds, and shall present a written declaration for the second time. As well as faculty members, vendors shall also be required to present a written declaration for the second time.

6) Section to contact concerning business transactions

The point of contact concerning inquiries about business transactions by faculty members and about outside funding transactions by corporations, etc. shall be as follows. Consultation with the relevant section must be conducted in the case of outside funding.

1) Concerning application for Grants-in-Aid for Scientific Research

10. Three Rules You Need to Know

(Ⅱ. Basic Guidelines for Proper Control of Research Funds, etc.)

Responsible section of the department to which the relevant faculty member belongs

- 2) Concerning application for and acceptance of entrusted research, joint research, entrusted projects, joint projects and donations (including private grants, etc.)

Responsible section of the department to which the relevant faculty member belongs

- 3) Concerning execution of various expenditures
 - Expenses for supplies, equipment and furniture

Procurement Section in the department to which relevant the faculty member belongs, except for book-related matters, which are to be handled by Academic Information Division within the General Affairs Department.

- Travel expenses and awards

Responsible section of the department to which the relevant faculty member belongs

- 4) In case the section to contact is unknown

General Finance Section of the Financial Planning Division within the Finance Department (076-264-5044/5046)

Email: fisokatu@adm.kanazawa-u.ac.jp

5. Organization and measures concerning improper conduct involving Research Funds, etc.

- (1) Contact point for whistleblowing concerning improper conduct

The contact point for whistleblowing or consultation (hereinafter referred to as “Whistleblowing”) by faculty members regarding illegal use or accounting of Research Funds, etc. (hereinafter referred to as “Improper Conduct of Research Funds, etc.”), which shall be hereinafter referred to as the “Contact Point for Whistleblowing,” will be the contact point provided for in Article 5 of the National University Corporation Kanazawa University Whistleblower Protection Regulations (hereinafter referred to as the “Whistleblower Protection Regulations”).

Reports of improper conduct should be made by email or sealed letter (marked “Confidential”) and whistleblowers shall be protected under the Whistleblower Protection Regulations.

Contact Point for Whistleblowing

- General Consultation Office of National University Corporation Kanazawa University
Kakuma-machi, Kanazawa, 920-1192
- Legal advisor to the University
Mitsuyo Matsuda, Attorney at Law
Matsuda Law Patent Office, 3-24 kenrokumoto-machi, Kanazawa, 920-0931

Means of Whistleblowing

- 1) Direct email: koueki@adm.kanazawa-u.ac.jp
- 2) Sealed letters (marked “Confidential”) should be addressed to:

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(Ⅱ. Basic Guidelines for Proper Control of Research Funds, etc.)

At the time a Whistleblowing report concerning Improper Conduct of Research Funds, etc. is accepted, the name and contact information of the whistleblower, the researcher/group who is reportedly involved in the improper conduct, details of the improper conduct, reasons for regarding the conduct as improper, Research Funds, etc. used and other related matters will be confirmed. Whistleblowers may be requested to cooperate in the investigation.

If it becomes apparent as a result of the investigation that the whistleblowing was done for malicious reasons, the name of the whistleblower may be announced and he/she may be subjected to disciplinary action.

(2) Whistleblowing Survey Committee Meetings

When the whistle is blown on Improper Conduct of Research Funds, etc., the Contact Point for Whistleblowing will contact the Compliance Administrator regarding the report. The Compliance Administrator will consider the necessity of surveys, notify the Chief Administrative Officer and the relevant Compliance Manager of the whistleblowing, and handle the matter in compliance with the Whistleblower Protection Regulations.

In principle, the whistleblower should report the matter under his/her real name. The Whistleblowing Survey Committee will then survey and confirm the facts (existence/details of improper conduct, parties involved and their degrees of involvement, the amount of funds used improperly, etc.) and the Chairman will report the survey results to the President as the Chief Administrative Officer and the Compliance Manager through the Compliance Administrator. In surveying the improper conduct, the Chairman can, if necessary, request the related department to organize a survey committee and survey the matter.

The Whistleblowing Survey Committee shall notify the whistleblower of the survey results and corrective action to be taken.

Note: “The Compliance Administrator” and “the Compliance Manager” are as stipulated in the Basic Regulations on Compliance of Kanazawa University.

(3) Execution of surveys on improper conduct revealed through other processes

Besides those stated in (1) and (2) above, when improper conduct is reported or revealed through other processes (including reporting by external parties such as companies), the survey committee organized by the relevant department in compliance with the Employee Disciplinary Rules of National University Corporation Kanazawa University (hereinafter referred to as “the Department Survey Committee”) will survey the improper conduct and related matters in compliance with (2) above.

The procedures for receipt, contact and reporting shall be handled by the General Consultation Office in the case of consultation or accusation other than whistleblowing, the Corporate Audit Office in the case of improper conduct revealed by internal audits, the Board of Audit of Japan, etc. and each department in cases involving disciplinary action, in compliance with the provisions

10. Three Rules You Need to Know

(II. Basic Guidelines for Proper Control of Research Funds, etc.)

stated in (1) and (2) above.

(4) Securing fair and transparent surveys

The Whistleblowing Survey Committee and the Department Survey Committees shall require the legal advisor to the University, as a third party, to become a committee member in order to secure fairness and transparency.

(5) Reporting to and discussions with the allocating organization on improper conduct concerning competitive funds

- 1) Judgment as to the necessity of surveys should be made within 30 days from the date of receipt of the accusation, after it is confirmed that a reasonable case exists, with the judgment reported to the allocating organization.
- 2) In addition to the above, survey principles, surveyed matters, survey methods, and other necessary matters should be reported to the allocating organization and such matters should be discussed.
- 3) A final report shall be presented to the allocating organization within 210 days from the receipt of the accusation, which should include the survey results, factors enabling the improper conduct, management/audit schemes for other competitive funds handled by the persons involved in the improper conduct, and a recurrence prevention plan. If the survey cannot be completed by the deadline, an interim report on the survey should be submitted to the allocating organization. If improper conduct is partially confirmed, it should be promptly reported to the allocating organization even if the survey is not yet completed.
- 4) In addition to the above, the progress of the survey should be reported, or an interim report of the survey should be presented, to the allocating organization if requested by the allocating organization, even before the completion of the survey. If requested by the allocating organization, materials concerning the relevant case should be presented or disclosed, or a field survey should be conducted, unless there are justifiable reasons for not doing so, such as interfering with the survey.

(6) Disciplinary actions, etc. for improper conduct

- 1) Disciplinary actions against faculty members judged to have participated in improper conduct shall be carried out pursuant to the following regulations:
 - “Employee Working Regulations of National University Corporation Kanazawa University”
 - “Non-regular Employee Working Regulations of National University Corporation Kanazawa University”
 - “Employee Disciplinary Rules of National University Corporation Kanazawa University”

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(Ⅱ. Basic Guidelines for Proper Control of Research Funds, etc.)

“Disciplinary Action Guidelines of National University Corporation Kanazawa University”

- 2) Publication of disciplinary actions is pursuant to the following standards. The information to be published shall contain the name of the person involved in the improper conduct, the section and department to which this person belongs, details of the improper conduct, measures implemented by the University until publication of the information, the name of the investigator and his/her section and department, and methods, procedures and other details of the investigations conducted. However, the University may refrain from disclosing the name of the person involved in the improper conduct, his/her section and department, and other personal information when there are justifiable grounds.

“Publication Standards of Disciplinary Punishments in National University Corporation Kanazawa University”

- 3) Such measures as suspension of transactions in response to improper conduct by outside vendors shall be based on the following procedures, and such measures as suspension of transactions applied by the University may be applied likewise by the Ministry of Education, Culture, Sports and Technology and related Incorporated Administrative Agencies, including all national university corporations:

“Handling Procedures of Suspension of Transactions, etc. for Purchasing of Goods, etc. at National University Corporation Kanazawa University”

- 4) Notwithstanding any of the preceding provisions, if the investigations discover any facts suggesting a high possibility that the suspected improper misconduct was actually committed, the President may, in the capacity of the Chief Administrative Officer, issue an order to temporarily suspend disbursements of the Research Funds, etc. or other related operations under investigation where necessary.

6. Improvement of monitoring system

(1) Duties of Corporate Audit Office

The Corporate Audit Office shall oversee the University as a whole as an organization under the direct control of the Chief Administrative Officer, monitoring proper operation and administration of the Research Funds, etc. and shall carry out such services as per the “Procedures for Establishment of Corporate Audit Office of National University Corporation Kanazawa University.” In addition, pertaining to the execution of transactions involving outside funds, auditing shall be performed with an emphasis on the following points:

- 1) Firsthand verification of goods, firsthand verification of services subject to remuneration, etc. and verification of business trips, etc.
- 2) Verification of use of purchased goods and relevance matching of research agenda and expenditures.

In conducting internal audits, the Corporate Audit Office shall review the audit plan as needed

10. Three Rules You Need to Know

(II . Basic Guidelines for Proper Control of Research Funds, etc.)

to improve its efficiency and optimization according to the causes of illegal conduct identified through past internal audits, and shall improve the quality of internal audits by utilizing persons with specialized knowledge such as certified accountants and persons with experiences of audit works at other institutions. In addition, in order to carry out efficient, effective and multifaceted internal audits, the Corporative Audit Office shall strengthen cooperation with auditors, provide necessary information, etc., and exchange opinions on a regular basis.

(2) Utilization of internal audit results

The Corporative Audit Office shall disseminate the results of internal audits, etc. by utilizing them for compliance education and enlightenment activities, and shall ensure that similar risks do not occur at the University as a whole.

(3) Regulation of Promotion Committee

The Corporate Audit Office functions as a regulatory organization over the Promotion Committee. Corporate Audit Office personnel must attend committee meetings and verify the Promotion Committee organization when committee meetings are held.

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(Ⅱ. Basic Guidelines for Proper Control of Research Funds, etc.)

Attached Sheet (2024.4.1)			
Budget Allocation Units	Management System of Department, etc.		
	Departmental Administrator	Vice Departmental Administrator	Department Communication Coordinator
Interfaculty Institute for Future Education	Director General, Interfaculty Institute for Future Education	The person Named by the Departmental Administrator	Director, Educational and Student Affairs Division, Educational and Student Affairs Department
Institute and College of Transdisciplinary Sciences for Innovation	Dean, Institute of Transdisciplinary Sciences for Innovation	Chair, Faculty of Transdisciplinary Sciences for Innovations	Director, General Affairs Division, Transdisciplinary Sciences Administration Department
Institute and College of Human and Social Sciences (incl. Graduate School of Human and Socio-Environmental Studies, Law, Professional Development in Teacher Education)	Dean, Institute of Human and Social Sciences	Chair, Faculty of Humanities Chair, Faculty of Law Chair, Faculty of Economics and Management Chair, Faculty of Education Chair, Faculty of Regional Development Studies Chair, Faculty of International Studies Director, Faculty of Center for the Study of Global Cultures and Societies Director, General Affairs Division, Human and Social Administration Department	Director, General Affairs Division, Human and Social Administration Department
Affiliated Schools	Director of Affiliated Schools	Principal of Affiliated Kindergarten Principal of Affiliated Elementary School Principal of Affiliated Junior High School Principal of Affiliated Senior High School Principal of Affiliated School for Special Needs Education Director, General Affairs Division, Human and Social Administration Department	Director, General Affairs Division, Human and Social Administration Department
Institute and College of Science and Engineering (incl. Graduate School of Natural Science and Technology)	Dean, Institute of Science and Engineering	Chair, Faculty of Mathematics and Physics Chair, Faculty of Chemistry Chair, Faculty of Mechanical Engineering Chair, Faculty of Frontier Engineering Chair, Faculty of Electrical, Information and Communication Engineering Chair, Faculty of Geosciences and Civil Engineering Chair, Faculty of Biological Science and Technology Director, Advanced Research Center for Space Science and Technology Director, General Affairs Division, Science and Engineering Administration Department	Director, General Affairs Division, Science and Engineering Administration Department
Institute and College of Medical, Pharmaceutical and Health Sciences	Dean, Institute of Medical, Pharmaceutical and Health Sciences	Chair, Faculty of Medicine Chair, Faculty of Pharmacy	(1) Director, General Affairs Division,

10. Three Rules You Need to Know

(Ⅱ. Basic Guidelines for Proper Control of Research Funds, etc.)

Attached Sheet (2024.4.1)			
Budget Allocation Units	Management System of Department, etc.		
	Departmental Administrator	Vice Departmental Administrator	Department Communication Coordinator
(incl. Graduate School of Medical Sciences, Advanced Preventive Medical Sciences, United Graduate School of Child Development)		Chair, Faculty of Health Sciences Director, General Affairs Division, Medical, Pharmaceutical and Health Administration Department Director, Faculty of Pharmacy and Cancer Research Institute Support Division, Medical, Pharmaceutical and Health Administration Department, Director, Faculty of Health Sciences Support Division, Medical, Pharmaceutical and Health Administration Department	Medical, Pharmaceutical and Health Administration Department (excl. scope of authority of (2),(3)) (2) Director, Faculty of Pharmacy and Cancer Research Institute Support Division, Medical, Pharmaceutical and Health Administration Department (Faculty of Pharmacy, School of Pharmacy, School of Medical and Pharmaceutical Sciences, Division, Pharmacy, Division, Pharmaceutical Sciences and other related grant funded courses) (3) Director, Faculty of Health Sciences Support Division, Medical, Pharmaceutical and Health Administration Department (Faculty of Health Sciences, School of Health Sciences, Division, Health Sciences)
Institute of Liberal Arts and Science	Dean, Institute of Liberal Arts and Science	The person Named by the Departmental Administrator	Director, General Education Support Division, Educational and Student Affairs Department
Graduate School of Frontier Science Initiative	Dean, Graduate School of Frontier Science Initiative	The person Named by the Departmental Administrator	Director, General Affairs Division, Transdisciplinary Sciences Administration Department
University Hospital	Director General, University Hospital	The person Named by the Departmental Administrator Director, Hospital Management Division, Hospital Department	Director, Hospital Management Division, Hospital Department
Interfaculty Institute for Frontier Science	Director General, Interfaculty Institute for Frontier Science	The person Named by the Departmental Administrator	Director, Research Planning Division, Research Promotion Department

10. Three Rules You Need to Know

(Ⅱ. Basic Guidelines for Proper Control of Research Funds, etc.)

Attached Sheet (2024.4.1)			
Budget Allocation Units	Management System of Department, etc.		
	Departmental Administrator	Vice Departmental Administrator	Department Communication Coordinator
Cancer Research Institute	Director General, Cancer Research Institute	The person Named by the Departmental Administrator	Director, Faculty of Pharmacy and Cancer Research Institute Support Division, Medical, Pharmaceutical and Health Administration Department
Nano Life Science Institute	Director General, Nano Life Science Institute	The person Named by the Departmental Administrator	Director, Nano Life Science Institute Administration Office
Nanomaterials Research Institute	Director General, Nanomaterials Research Institute	The person Named by the Departmental Administrator	Director, General Affairs Division, Science and Engineering Administration Department
Advanced Manufacturing Technology Institute	Director General, Advanced Manufacturing Technology Institute	The person Named by the Departmental Administrator	Director, General Affairs Division, Science and Engineering Administration Department
Advanced Mobility Research Institute	Director General, Advanced Mobility Research Institute	The person Named by the Departmental Administrator	Director, General Affairs Division, Science and Engineering Administration Department
Institute for the Study of Ancient Civilizations and Cultural Resources	Director General, Institute for the Study of Ancient Civilizations and Cultural Resources	The person Named by the Departmental Administrator	Director, General Affairs Division, Human and Social Administration Department
Frontier Institute of Tourism Sciences	Director General, Frontier Institute of Tourism Sciences	The person Named by the Departmental Administrator	Director, General Affairs Division, Transdisciplinary Sciences Administration Department
University Library	Director General, University Library	The person Named by the Departmental Administrator	Director, Academic Information Division, General Affairs Department
Emerging Media Initiative	Director, Emerging Media Initiative	The person Named by the Departmental Administrator	Director, Information Technology Promotion Office
Institute of Nature and Environmental Technology	Director, Institute of Nature and Environmental Technology	The person Named by the Departmental Administrator	Director, General Affairs Division, Science and Engineering Administration Department
Research Center for Experimental Modeling of Human Disease	Director, Research Center for Experimental Modeling of Human Disease	The person Named by the Departmental Administrator	Director, General Affairs Division, Medical, Pharmaceutical and Health Administration Department
Research Center for Child Mental Development	Director, Research Center for Child Mental Development	The person Named by the Departmental Administrator	Director, General Affairs Division, Medical, Pharmaceutical and Health Administration Department
Advanced Preventive Medical Sciences Research Center	Director, Advanced Preventive Medical Sciences Research Center	The person Named by the Departmental Administrator	Director, General Affairs Division, Medical, Pharmaceutical and Health Administration

10. Three Rules You Need to Know

(Ⅱ. Basic Guidelines for Proper Control of Research Funds, etc.)

Attached Sheet (2024.4.1)			
Budget Allocation Units	Management System of Department, etc.		
	Departmental Administrator	Vice Departmental Administrator	Department Communication Coordinator
			Department
Environment Preservation Center	Director, Environment Preservation Center	The person Named by the Departmental Administrator	Director, Facility Planning Division, Facilities Department
Experimental Research Center for Envisioning the Future	Director, Experimental Research Center for Envisioning the Future	The person Named by the Departmental Administrator	Director, Social Co-creation Planning Division, Social Co-creation Promotion Department
International Research Center for Japan Studies	Director, International Research Center for Japan Studies	The person Named by the Departmental Administrator	Director, International Planning Division, International Relations Department
Health Service Center	Director, Health Service Center	The person Named by the Departmental Administrator	Director, Student Support Division, Educational and Student Affairs Department
Organization of Global Human Resource Development	Director General, Organization of Global Human Resource Development	The person Named by the Departmental Administrator	Director, General Affairs Division, General Affairs Department
Institute for Frontier Science Initiative	Director General, Institute for Frontier Science Initiative	The person Named by the Departmental Administrator	Director, Research Support Division, Research Promotion Department
Frontier Science and Social Co-creation Initiative	Director General, Frontier Science and Social Co-creation Initiative	The person Named by the Departmental Administrator	(1) Director, Research Support Division, Research Promotion Department (excl. scope of authority of (2)) (2) Director, General Affairs Division, Science and Engineering Administration Department (having authority over V.B.L)
Institute for Promotion of Diversity and Inclusion	Director General, Institute for Promotion of Diversity and Inclusion	The person Named by the Departmental Administrator	Director, Personnel Labor Division, General Affairs Department
Low Temperature Laboratory	Director, Low Temperature Laboratory	The person Named by the Departmental Administrator	Director, General Affairs Division, Science and Engineering Administration Department
University Museum	Director, University Museum	The person Named by the Departmental Administrator	Director, Academic Information Division, General Affairs Department
Technical Support Center	Director, Technical Support Center	The person Named by the Departmental Administrator	Director, General Affairs Division, Science and Engineering Administration Department

10. Three Rules You Need to Know

(Ⅱ. Basic Guidelines for Proper Control of Research Funds, etc.)

Attached Sheet (2024.4.1)			
Budget Allocation Units	Management System of Department, etc.		
	Departmental Administrator	Vice Departmental Administrator	Department Communication Coordinator
Nomi Seminar House	Director, Nomi Seminar House	The person Named by the Departmental Administrator	Director, Educational and Student Affairs Division, Educational and Student Affairs Department
General Affairs Department (incl. Corporative Audit Office, Planning and Evaluation Office, Secretarial Office, Public Relations Strategy Office, Foundation and Alumni Office, General Consultation Office and Information Technology Promotion Office)	Executive Director, General Affairs Department	Director, General Affairs Division, General Affairs Department	Director, General Affairs Division, General Affairs Department
Finance Department	Executive Director, Finance Department	Director, Financial Planning Division, Finance Department	Director, Financial Planning Division, Finance Department
Facilities Department	Executive Director, Facilities Department	Director, Facility Planning Division, Facilities Department	Director, Facility Planning Division, Facilities Department
Research Promotion Department	Executive Director, Research Promotion Department	Director, Research Planning Division, Research Promotion Department	Director, Research Planning Division, Research Promotion Department
Social Co-creation Promotion Department	Executive Director, Social Co-creation Promotion Department	Director, Social Co-creation Planning Division, Social Co-creation Promotion Department	Director, Social Co-creation Planning Division, Social Co-creation Promotion Department
Educational and Student Affairs Department	Executive Director, Educational and Student Affairs Department	Director, Educational and Student Affairs Division, Educational and Student Affairs Department	Director, Educational and Student Affairs Division, Educational and Student Affairs Department
International Relations Department	Executive Director, International Relations Department	Director, International Planning Division, International Relations Department	Director, International Planning Division, International Relations Department
Engineering and Technology Department	Executive Director, Engineering and Technology Department	The person Named by the Departmental Administrator	The person Named by the Departmental Administrator
Top Global University Project Planning and Promotion Headquarters	Head, Top Global University Project Planning and Promotion Headquarters	Director, International Planning Division, International Relations Department	Director, International Planning Division, International Relations Department

10. Three Rules You Need to Know

(Ⅲ. Prevention Plan of Improper Use of Research Funds, etc.)

Ⅲ. Prevention Plan of Improper Use of Research Funds, etc. at National University Corporation Kanazawa University

Prevention Plan of Improper Use of Research Funds, etc. at National University Corporation Kanazawa University

Determined on September 14, 2012

By the Board of Executives

Latest amended on June 10, 2024

By the Promotion Committee for a Prevention Plan for Illegal Conduct Pertaining to Research Funds

1. Purpose

In order to fully ensure the proper use of research funds in the National University Corporation Kanazawa University (hereinafter referred to as the “University”), “Prevention Plan of Improper Use of Research Funds, etc. at National University Corporation Kanazawa University” (hereinafter referred to as “Prevention Plan of Improper Use” has been prepared, as mentioned below, based on “Basic Guidelines for Proper Control of Research Funds, etc. at National University Corporation Kanazawa University” (hereinafter referred to as “Basic Guidelines”), and shall be implemented accordingly. Incidentally, the definition of terms in this Prevention Plan of Improper Use” shall be the same as the one in the Basic Guidelines.

2. Measures for prevention of improper use

Causes	Objectives	Actions	Responsible Parties
(1) Lack of understanding of applied rules for research costs, etc. and the University’s regulations, etc. as well as decline of awareness for compliance with laws and ordinances	① Thorough dissemination of applied rules, regulations, etc.	①-1 Disseminating applied rules, regulations, etc. systematized for better understanding	*Finance Dept. *Research Promotion Dept.
		①-2 Periodically holding an explanatory meeting concerning applied rules, etc. commencing with the Basic Guidelines and the Prevention Plan of Improper Use	*Finance Dept. *Research Promotion Dept.
		①-3 In coordination with each Department Communication Coordinator, each Departmental Administrator shall implement dissemination of applied rules, etc. in each section, commencing with the Basic Guidelines and the Prevention Plan of Improper Use, and enlightenment activities aimed at raising awareness of all faculty members to prevent illegal conduct.	*Departmental Administrator

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	②Checking understanding level of applied rules, etc. and taking corrective measures as needed	②-1 The investigation of understanding level shall be made. The results of the survey it will use the review of the Prevention Plan of Improper Use, and holding an explanatory meeting.	*Finance Dept.
(2) The execution of research funds, etc. is concentrated at the end of a fiscal year due to inability of planned implementation.	①The faculty members engaged in research funds, etc. shall always understand the execution status of the balance of budget, etc.	①-1 Always understanding the budget balance by effectively using the University’s supporting system, etc. for budget execution and paying attention to avoiding significant delay of the original plan	*Departmental Administrator
		①-2 Regarding Grants-in-Aid for Scientific Research, for problems concerning research that is deemed not to have been executed as planned such as goods requiring extended time for delivery or contract procedures and the occasion that balance remains more than 50% as of the last day of December of each fiscal year, etc., the Department Communication Coordinator shall disseminate the status, and Departmental Administrator shall concurrently confirm the reasons for the execution delays and shall provide any necessary guidance	*Departmental Administrator
		①-3 Disseminating the system for using competitive funds, etc. from the nation, etc. prior to them being granted and providing assistance for its execution as planned	*Departmental Administrator *Finance Dept.

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(3) Collusive relationship between faculty members and outside vendors	① Taking measures to prevent faculty members getting too close to outside vendors	①-1 When making a contract, the staff in charge of contractual matters shall collect as much relevant information from as many vendors as possible and publicize the procurement information	*Departmental Administrator *Finance Dept.
		①-2 The faculty members (meaning all members not in charge of contractual matters) shall understand that they have no authority over the procurement of goods and contracts and shall act in accordance with the University's rules when using personal funds temporarily for what university should owe	*Departmental Administrator *Finance Dept.
		①-3 Strictly ensure that the vendor enters dates in each of the documents prepared by vendors, such as estimates, invoices and bills, etc. and submits bills promptly	*Departmental Administrator *Finance Dept.
	② Requesting vendors to assist the prevention of improper conduct	②-1 Preparing a notice concerning vendors' duties of compliance with laws and ordinances and punishments for violations such as business suspension, etc. and posting it in inspection areas, etc.	*Departmental Administrator *Finance Dept.
	③ Ensuring verification during an internal audit	③-1 Randomly sample vendors transacting with the University and carry out auditing that includes verification of existence/non-existence, etc. of deposits received	*Office for Corporative Audit
	(4) Acceptance inspection of goods becoming mere office work	① Establishing and disseminating a unified internal standard for acceptance inspections.	①-1 Strict execution of acceptance inspections are carried out by staff in charge of acceptance inspections. Those persons responsible for acceptance inspections and inspection areas of the University are as per Appendix 1

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		①-2 Staff in charge of acceptance inspections shall indicate the section in charge, inspection date (year/month/day) and staff name on invoices as an inspection stamp when performing delivery inspections, so as to have a clear history of inspections carried out	*Departmental Administrator
		①-3 After delivery inspections have been carried out, upon the receipt of goods by each research laboratory, etc., the recipient of goods shall sign invoices with a signature or seal	*Departmental Administrator
	② Concerning the method of acceptance inspections of non-standard goods, establishing and disseminating a unified internal standard	②-1 In case of goods being delivered by a delivery company directly to a laboratory, etc., after the staff of the relevant laboratory, etc., shall receive the goods and sign the invoice, they immediately notify the staff in charge of inspection administration and have the inspection performed by the inspection administrator	*Departmental Administrator
		②-2 In case of goods being delivered to an outside institution without an acceptance inspection performed by the administrative section of the University, a request shall be sent to the staff of the organization for the inspection to be carried out and for the invoice to be signed and returned to the University	*Departmental Administrator
		②-3 Concerning the special service (Developing or creating of databases, programs and digital contents, maintenance and inspection of machine), staff in charge of acceptance inspection accept by deliverables, the documents which can confirm observance of a contract	*Departmental Administrator

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		or on-site confirmation by observing, etc.	
	③Disseminating the University's acceptance inspection system among outside vendors as well	③-1 Concerning the goods which are not being inspected through appropriate procedure, prepare a notice of rejection, etc. and post it at the inspection areas, etc.	*Departmental Administrator *Finance Dept.
	④Carrying out strict verification during internal audits	④-1 Of the inspected goods received, those deemed to be large in volume per procurement and deemed to have limited usage, etc. shall be selected and verified by an auditor during internal audits	*Office for Corporative Audit
(5) Insufficient factual verification regarding business trips	①Strict verification of facts regarding business trips	①-1 Make use of the university-operated "Business Trip Navigator" ticket-issuing system (train tickets, airplane tickets, lodging, etc.) when claiming travel expenses	*Departmental Administrator *Finance Dept.
		①-2 Strict submission of receipts, vouchers, etc. is necessary for the issuance of travel expenses. Furthermore, the documents that must be submitted are as per Appendix 2	*Departmental Administrator *Finance Dept. *General Affairs Dept.
	②Strict verification during internal audits	②-1 Auditors shall randomly sample and carry out direct factual verification of business trip destinations, etc.	*Office for Corporative Audit
(6) Insufficient factual verification of rewards	①Strict verification of facts concerning reward payments	①-1 Staff in charge of reward administration shall ensure prior submission of the "Reward Payment Plan" to the administrator	*Departmental Administrator
		①-2 The administrator (for remote locations, faculty members other than a verifier of Time Sheet) shall verify the detail with the execution manager and the administrative manager according to the "Time Sheet" and "Reward-payment Execution Report"	*Departmental Administrator
		①-3 In case of reward payments for	*Departmental

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		lectures, etc., a pamphlet, etc. indicating the content (date, time, place, name of lecturer, etc.) shall be attached to the report	Administrator
	②Strict verification during internal audits	②-1 Concerning rewards for experimental assistance, arrangement of materials, etc., an auditor shall randomly sample and carry out direct factual verification of work details, hours, etc. with the execution manager and the staff operating the job	*Office for Corporative Audit
(7) Lack of awareness of administrative management such as subsidies etc. awarded to faculty members of the University	①Subsidies, etc. are fully managed by university	①-1 Concerning subsidies requiring administrative management, fully ensure proper actions and procedures determined by the University	*Departmental Administrator

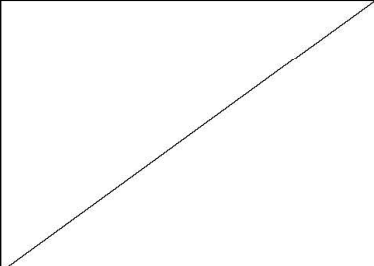
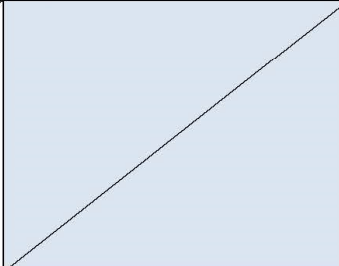
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Appendix 1

<Concerning contracts, etc., of goods and services>

2024.4.1

Section in charge budgeting, etc.	Section in charge of contractual matters	Section in charge of inspection work
Interfaculty Institute for Future Education	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
College and Institute of Transdisciplinary Sciences for Innovation	Accounting Section, General Affairs Division, Transdisciplinary Sciences Administration Department	Same as on the left
College and Institute of Human and Social Sciences (incl. Graduate School of Human and Socio- Environmental Studies, Law, Professional Development in Teacher Education, Center for Teaching Profession)	General Affairs Division, Human and Social Administration Department	Same as on the left
Affiliate Schools, School of Teacher Education of College of Human and Social Sciences	General Affairs Division, Human and Social Administration Department	General Affairs Division, Human and Social Administration Department
College and Institute of Science & Engineering (incl. Graduate School of Natural Science and Technology)	Procurement Section, General Affairs Division, Science and Engineering Administration Department	Same as on the left (Employees of each relevant facility (conducted by employees other than the person requesting the goods) only when acceptance inspections by Science and Engineering Administration Department deems difficult.)
College and Institute of Medical, Pharmaceutical and Health Sciences (incl. Graduate School of Medical Sciences, United Graduate School of Child Development) as per I & II below		

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Section in charge budgeting, etc.	Section in charge of contractual matters	Section in charge of inspection work
I: College and Institute of Medical, Pharmaceutical and Health Sciences (incl. Graduate School of Medical Sciences, United Graduate School of Child Development, excluding II)	Procurement Section, General Affairs Division, Medical, Pharmaceutical and Health Sciences Administration Department	(1) Procurement Section, General Affairs Division, Medical, Pharmaceutical and Health Sciences Administration Department (excluding (2)) (2) General Affairs Section, Faculty of Health Sciences Support Division, Medical, Pharmaceutical and Health Sciences Administrative Department (exclusively concerning Health Sciences)
II. College and Institute of Medical, Pharmaceutical and Health Sciences (Faculty of Pharmacy, School of Pharmacy, Division of Pharmacy, Division of Pharmaceutical Sciences and other Endowed Chairs exclusively)	Accounting Section, Faculty of Pharmacy and Cancer Research Institute Support Division, Medical, Pharmaceutical and Health Administration Department	(3) Same as on the left (Employees of each relevant department (conducted by employees other than the person requesting the goods) only when acceptance inspections by Pharmaceutical and Health Administration Department deems difficult.)
Institute of Liberal Arts and Science	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
Graduate School of Frontier Science Initiative	Accounting Section, General Affairs Division, Transdisciplinary Sciences Administration Department General Affairs Division, Human and Social Administration Department Procurement Section, General Affairs Division, Science and Engineering Administration Department Procurement Section, General	(1) Same as on the left (excluding (2)) (2) General Affairs Section, Faculty of Health Sciences Support Division, Medical, Pharmaceutical and Health Sciences Administrative Department (exclusively those

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Section in charge budgeting, etc.	Section in charge of contractual matters	Section in charge of inspection work
	Affairs Division, Medical, Pharmaceutical and Health Sciences Administration Department Accounting Section, Faculty of Pharmacy and Cancer Research Institute Support Division, Medical, Pharmaceutical and Health Administration Department Finance Group, Nano Life Science Institute Administration Office Administration Department Procurement Section	who have laboratory at Tsuruma Area)
University Hospital	Procurement Control Section, Hospital Management Division, Hospital Department	(1) Procurement Control Section, Hospital Management Division, Hospital Department (excluding (2) - (6)) (2) Clinical Laboratory (relevant medical supplies exclusively) (3) Radiology Division (relevant medical supplies exclusively) (4) Division of Transfusion Medicine (relevant medical supplies exclusively) (5) Division of Radioisotope Department (relevant medical supplies exclusively) (6) Department of Hospital Pharmacy (relevant medical supplies exclusively)
Interfaculty Institute for Frontier Science	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
Cancer Research Institute	Accounting Section, Faculty of Pharmacy and Cancer Research	Same as on the left

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Section in charge budgeting, etc.	Section in charge of contractual matters	Section in charge of inspection work
	Institute Support Division, Medical, Pharmaceutical and Health Administration Department	
Nano Life Science Institute	Finance Group, Nano Life Science Institute Administration Office Administration Department Procurement Section, General Affairs Division, Medical, Pharmaceutical and Health Administration Department Accounting Section, Faculty of Pharmacy and Cancer Research Institute Support Division, Medical, Pharmaceutical and Health Administration Department	Same as on the left
Nanomaterials Research Institute	Procurement Section, General Affairs Division, Science and Engineering Administration Department	Same as on the left
Advanced Manufacturing Technology Institute	Procurement Section, General Affairs Division, Science and Engineering Administration Department	Same as on the left
Advanced Mobility Research Institute	Procurement Section, General Affairs Division, Science and Engineering Administration Department	Same as on the left
Institute for the Study of Ancient Civilizations and Cultural Resources	General Affairs Division, Human and Social Administration Department	Same as on the left
The Frontier Institute of Tourism Sciences	Accounting Section, General Affairs Division, Transdisciplinary Sciences Administration Department	Same as on the left

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Section in charge budgeting, etc.	Section in charge of contractual matters	Section in charge of inspection work
University Libraries	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
Emerging Media Initiative	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
Institute of Nature and Environmental Technology	Procurement Section, General Affairs Division, Science and Engineering Administration Department	Same as on the left (Employees of each relevant facility (conducted by employees other than the person requesting the goods) only when acceptance inspections by Science and Engineering Administration Department deems difficult.)
Advanced Science Research Center as per I, II and III below	/	/
I. Research Center for Experimental Modeling of Human (excluding II and III)	Procurement Section, General Affairs Division, Medical, Pharmaceutical and Health Administration Department	Employees of each relevant facility (conducted by employees other than the person requesting the goods)
II. Research Center for Experimental Modeling of Human (Radioisotope Laboratory for Natural Science and Technology exclusively)	Procurement Section, General Affairs Division, Science and Engineering Administration Department	Same as on the left
III. Research Center for Experimental Modeling of Human (Research Institute for Instrumental Analysis exclusively)	Accounting Section, Faculty of Pharmacy and Cancer Research Institute Support Division, Medical, Pharmaceutical and Health Administration Department	Same as on the left
Research Center for Child Mental Development	Procurement Section, General Affairs Division, Medical, Pharmaceutical and Health Administration Department	Same as on the left

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Section in charge budgeting, etc.	Section in charge of contractual matters	Section in charge of inspection work
Advanced Preventive Medical Sciences Research Center	Procurement Section, General Affairs Division, Medical, Pharmaceutical and Health Administration Department	Same as on the left
Environment Preservation Center	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
Experimental Research Center for Envisioning the Future	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
International Research Center for Japan Studies	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
Health Service Center	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
Organization of Global Human Resource Development	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
Institute for Frontier Science Initiative	Finance Group, Nano Life Science Institute Administration Office Procurement Control Section, Financial Management Division, Finance Department Accounting Section, General Affairs Division, Transdisciplinary Sciences Administration Department General Affairs Division, Human and Social Administration Department Procurement Section, General Affairs Division, Science and Engineering Administration Department Procurement Section, General Affairs Division, Medical,	(1) Same as on the left (excluding (2)) (2) General Affairs Section, Faculty of Health Sciences Support Division, Medical, Pharmaceutical and Health Sciences Administrative Department (exclusively those who have laboratory at Tsuruma Area)

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Section in charge budgeting, etc.	Section in charge of contractual matters	Section in charge of inspection work
Technical Support Center	Procurement Section, General Affairs Division, Science and Engineering Administration Department	Same as on the left
Articulation Center for High School and University	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
Center for Management of Teaching and Learning	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
Nomi Seminar House	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left (Employees of Nomi Seminar House (conducted by employees other than the person requesting the goods) only when acceptance inspections by Finance Department deems difficult. A staff of Procurement Control Section, Financial Management Division, Finance Department will check at a later date.)
Administration Section of each Department	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
Top Global University Project Planning and Promotion Headquarters	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left

(Concerning facilities, construction contracts, etc.)

All sections, etc.	Facility Contract Section, Facility Planning Division, Facility Department Facility Section, Takara-machi Facility Support Office, Facility Department Equipment Section, Takara-machi Facility Support Office, Facility Department	Each section in charge at the Facility Department
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(Concerning contracts for libraries, magazine purchases, etc.)

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(Ⅲ. Prevention Plan of Improper Use of Research Funds, etc.)

Section in charge budgeting, etc.	Section in charge of contractual matters	Section in charge of inspection work
Technical Support Center	Procurement Section, General Affairs Division, Science and Engineering Administration Department	Same as on the left
Articulation Center for High School and University	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
Center for Management of Teaching and Learning	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
Nomi Seminar House	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left (Employees of Nomi Seminar House (conducted by employees other than the person requesting the goods) only when acceptance inspections by Finance Department deems difficult. A staff of Procurement Control Section, Financial Management Division, Finance Department will check at a later date.)
Administration Section of each Department	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left
Top Global University Project Planning and Promotion Headquarters	Procurement Control Section, Financial Management Division, Finance Department	Same as on the left

(Concerning facilities, construction contracts, etc.)

All sections, etc.	Facility Contract Section, Facility Planning Division, Facility Department Facility Section, Takara-machi Facility Support Office, Facility Department Equipment Section, Takara-machi Facility Support Office, Facility Department	Each section in charge at the Facility Department
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(Concerning contracts for libraries, magazine purchases, etc.)

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(Ⅲ. Prevention Plan of Improper Use of Research Funds, etc.)

All sections, etc.	Academic Information Division, General Affairs Department	Same as on the left
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*The place of acceptance inspection shall be the location of the sections, etc., indicated in the “Section in charge of inspection work” column.

[Supplementary special inspections instructions]

1. Concerning inspections of animals to be supplied to the Research Center for Experimental Modeling of Human, Institute for Experimental Animals, shall be performed responsible Research Center employee based on “Animal Admittance Request Form”.
2. Concerning radioisotopes to be supplied to the Research Center for Experimental Modeling of Human, Radioisotope Laboratory for Natural Science and Technology, the acceptance inspection shall be performed by the responsible Research Center employer.
3. The University Hospital logistic system goods that are subject to SPD contracts of medical supplies, etc. shall be deemed outside the above-mentioned acceptance inspection requirements.
4. Concerning inspections of animals to be supplied to the Nano Life Science Institute, Institute for Animals, shall be performed responsible Research Center employee based on “Animal Admittance Request Form”.
5. Engineering and Technology Department is an organization that reallocated technical staff from Science and Engineering Administration Department and Medical, Pharmaceutical and Health Administration Department, Therefore, Section in charge of contractual matters of former Organization performs acceptance inspection.

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Appendix 2

<1>Vouchers related to settlement of travel expenses

2019.7.30

			Arrangements using business trip navigator	Arrangements not using business trip navigator
Domestic travel	Transportation expenses	By air	Not required	*Verifiable boarding evidence such as boarding passes, etc. *Receipts
		Other than by air	Not required	Not required
	Package tours		Not required	*Receipts *Documents verifying expense report breakdown (package tour pamphlets, etc. are acceptable)
Overseas travel	Transportation expenses	By air	Not required	*Verifiable boarding evidence such as boarding passes, etc. *Receipts *Documents verifying expense report breakdown (airfare and miscellaneous travel expenses)
		Other than by air	Not required	*Receipts *Documents verifying expense report breakdown
	Package tour		Not required	*Receipt *Documents verifying expense report breakdown (package tour pamphlets, etc., are acceptable)
Notes	*For cases in which an external person has been invited to the University and the roundtrip air fare receipt and inbound boarding pass are available and the inbound boarding pass can be verified to belong to the roundtrip airfare receipt, etc., the outbound trip boarding pass is deemed unnecessary.			

<2>Details to be included in the documents to be submitted concerning work details and business trip reports.

	Evidential documents, etc.	Details to be included in business trip reports
1. Attendance at academic conferences or research meetings	Mandatory: Documents (programs, etc.) verifying schedules of academic conferences, venues, etc.	*Name of an academic conference attended and work details (either presentation or data collection) shall be included.
2. Discussion of research, etc.		*Place, date, details of discussion and organization/position/full name of persons participating in discussions shall be included.

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3. Surveys conducted at museums, galleries, libraries, etc.	Mandatory: Copies of verifiable entry, such as admission tickets, etc. (*1)	*Details of tasks, contents of collected data, etc. shall be included. *For cases in which discussion are conducted on location, details shall be included based on 2.
4. Fieldwork surveys		*Specific names of locations and details of survey, etc., shall be included. *For cases in which discussions are conducted on location, details shall be included based on 2.

(*1) For cases in which admission tickets, etc. are unavailable, such circumstances shall be included in the business trip report.

*For business trips in which the work falls outside of 1 through 4, documents (these which enable to verify that the personnel conducts research activity etc. at the business destination on the business trip dates) shall be attached, and when documents etc. are unavailable, a detailed report of the business trip shall be included in business trip reports.

*Responsible administrative staff shall verify that the above-mentioned documents are in proper order and request further business trip documentation when necessary. Further, those persons engaging in business trips shall endeavor to provide objective evidential documents substantiating business trips, shall cooperate with the responsible administrative staff and shall submit proper business trip reports.

【Contact】

Financial Planning Division,
Finance Department,
Kanazawa University

TEL 076-264-5044

FAX 076-234-4025

MAIL fisokatu@adm.kanazawa-u.ac.jp