

Comprehension Checksheet
Compliance Training Pursuant to Amendment of Guidelines for Management and Auditing of Public Research Funds at Research Institutes

■ Respond by putting a circle around one answer for each item.

Question 1: Do you think that the following is right as a basic understanding of improper acts?

The practice of using for research funding, compensation or other purpose in the next or a subsequent fiscal year, funds that have been entrusted to a business, is to be recommended – provided that the use is for research and not private – because it raises the efficiency of research.

- ① Right ② Wrong ③ Don't know

Question 2: Do you think that the following is right as a basic understanding of improper acts?

The act of having research collaborators enter an extra hour every day in their attendance records, claiming from the institute for such extra hours and pooling such money as expenses for participation in academic conferences, counts as improper.

- ① Right ② Wrong ③ Don't know

Question 3: Do you think that the following is right as a basic understanding of improper acts?

The act of buying an air ticket at the normal price and claiming it as travel expenses from the institute, then canceling the ticket, receiving the refund, buying a low-price air ticket and using the resulting balance for private purposes, counts as improper.

- ① Right ② Wrong ③ Don't know

Question 4: Do you think that the following approach to usage of research funds is right?

With research funding on a single-fiscal-year basis, funds left over at the end of the fiscal year due to the research not progressing according to plan should be returned.

- ① Right ② Wrong ③ Don't know

Question 5: How many years is the period of restriction on applying for funds when someone is determined as having misused money (sum of 10,000 yen) for personal use?

- ① 3 years ② 5 years ③ 10 years

Question 6: Do you think that the following way of using research funds is allowed as valid?

Using funds that due to economizing are left over from research task A, for buying consumable items for research task B.

- ① Allowed ② Not allowed ③ Don't know

Question 7: Do you think that the following way of using research funds is allowed as valid?

With research funding on a single-fiscal-year basis: using funds left over at the end of a fiscal year to purchase in advance, for the next fiscal year, multiple spare cartridges of laser printer toner.

- ① Allowed ② Not allowed ③ Don't know

Question 8: Do you think that the following method is allowed as means of using funds efficiently?

In the case where it becomes evident that goods ordered at the end of a fiscal year will be delivered in the next fiscal year: getting the business to enter a date within the current year as the delivery date in the delivery statement.

- ① Allowed ② Not allowed ③ Don't know

Question 9: Do you think that the following method of using travel expenses is right?

A researcher completes his/her tasks one day earlier than the final day of the business-trip period in a business-trip order, and because he/she had already reserved transport for the return journey, remains in the trip destination for the surplus day, using it to gather information for other research (exchange information with researchers from other research institutes). In the subsequent business-trip report, the researcher claims per-diems for all the days in the business-trip period, including a per-diem for the day spent in gathering information for other research.

- ① Right ② Wrong ③ Don't know

Question 10: Do you think that the following is a right understanding of the Guidelines for Dealing With Improper Acts in Research Activities?

Measures to deal with improper acts in research activities should only be taken as a form of self-cleansing grounded in the autonomy of the university or other institution; there is no need for clarification of management structures or promotion of efforts to proactively prevent improper acts through the establishment of responsibility structures by the university or other research institute as an organization.

- ① Right ② Wrong ③ Don't know

Correct answers: ① ② ③ ④ ⑤ ⑥ ⑦ ⑧ ⑨ ⑩ ⑪ ⑫ ⑬ ⑭ ⑮ ⑯ ⑰ ⑱ ⑲ ⑳

■ Survey Question

• Please tell us how well you have understood the training by circling one item below.

- ① Understood it very well ② Understood it fairly well ③ Didn't understand it much ④ Couldn't understand it

Date: _____ (month) _____ (day) 201 _____

Name _____ Affiliation _____ Position _____

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* If receiving or newly applying for public research funds, undergo the compliance training via the intranet or by viewing the DVD, then submit the following "Pledge" to the Research Office on your affiliated campus (Office of Research Planning and Development for Suzaku Campus).

Pledge

To the President of Ritsumeikan University

Fully cognizant that public research funds* are supplied from taxes, I hereby undertake to fairly and efficiently use (appropriately spend) research funds, and not to engage in improper acts in research (and to raise awareness of not engaging in improper acts). Specifically, I pledge:

1. To abide by the Ritsumeikan University Research Ethics Guidelines.
2. To abide, in spending public research funds, by the accounting rules pertaining to the research funding, the Regulations on Management of Public Research Funds at Ritsumeikan University, the Research Fund Spending Guidebook for Researchers, and so forth (below, the "Rules, Etc."), so as to use appropriately (spend appropriately) the public research funds that are granted.
3. To cooperate conscientiously in response to any request for cooperation with investigations that I may receive from the Operational Audit Office.
4. To accept such disciplinary measures as the Ministry of Education, Culture, Sports, Science and Technology, the Japan Society for the Promotion of Science, or other public funding allocation agency may determine in conjunction with Ritsumeikan University, if I improperly apply for, receive, or spend public research funding in violation of regulations, etc.

* "Public research funds" refers to:

- ① Grants-in-Aid for Scientific Research (KAKENHI)
- ② Competitive funds allocated by the Ministry of Education, Culture, Sports, Science and Technology and other public fund-allocating bodies
- ③ Research funds allocated by government organizations, independent administrative institutions, local governments, special public corporations, and similar entities
- ④ Grant money, etc. to which "appropriate management and auditing shall be performed according to the Guidelines for Management and Auditing of Public Research Funds at Research Institutions (Code of Practice)" applies by notification from the Ministry of Education, Culture, Sports, Science and Technology or rule indicated by the allocating body

Date: _____, 201__ (month, day, year)

ID Number of Faculty /
Administrative Staff: _____

Affiliation: _____

Position: _____ (Not required for administrative office clerk)

Name: _____ (Signature)

[Note] If this Pledge is not submitted, you will not be able to be involved in the receiving or spending of public research funds.

(This includes cases where you are a research representative, research project member, collaborative researcher, research collaborator, joint researcher, or similar.)

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