

Basic Policies for the Operation and Control of Research Expenses, Etc.

May 1, 2007

Article 1 - Purpose

1. The purpose of these basic policies is to create and enhance frameworks for the operation and control of research expenses, etc., at Shizuoka University (hereinafter, the “University”) and to achieve on the part of University faculty and staff members compliance with laws and regulations and University rules, etc.
2. University faculty and staff members realize that research expenses, etc., are predicated on the funding and the goodwill of the public, and at all times operate and control research expenses, etc., appropriately and consistent with the original purpose of use and in keeping with faculty and staff members’ duty of accountability.

Article 2 – Definitions

For the purposes of these basis policies, “Research Expenses, Etc.,” consist of the following.

1. Competitive funds distributed by ministries and agencies (including competitive funds from fund distributing institutions under the jurisdiction of ministries and agencies)
 2. Subsidies and grants-in-aid from municipal authorities
 3. Operating-expense grants and donations (including subsidies from supporting organizations, etc.)
 4. Other expenses controlled by and at the responsibility of the University
2. For the purposes of these basic policies, “Departments” consist of the Faculties, the Shizuoka Law School, the Graduate School of Science and Technology, the Electronics Research Institute, the Institutes for Joint Research and Education (which refers to the Shizuoka University Education Development Center, the Center for Research and Development in Admissions, the International Center, the Institute for Genetic Research and Biotechnology, the Center for Instrumental Analysis, the Information Processing Center, the Innovation and Joint Research Center, the Center for Education and Research in Lifelong Learning), the University Library, the Health Care Center, and the Administration Bureau.

Article 3 - Responsibility frameworks

To ensure the appropriate operation and control of research expenses, etc. of the University, the University appoints a Chief Controller, Supervisory Controllers, and Department Controllers.

1. The Chief Controller exercises control over the entire University and has ultimate responsibility for the operation and control of research expenses, etc. This function is exercised by the President.
2. The Supervisory Controllers assist the Chief Controller. With regard to the operation and control of research expenses, etc., the Supervisory Controllers have effective control responsibility and authority for the entire University. This function is exercised by the Trustees (administration, finance, facility management).
3. Department Controllers have effective responsibility and authority with regard to the operation and control of research expenses, etc. at each Department. This function is exercised by the Department Heads.

Article 4 - Formulation of rules, etc.

The Chief Controller verifies all clerical procedures for research expenses, etc. at all times, defines and integrates rules, and promulgates those rules among the faculty members.

Article 5 - Formulation of duties and authorities

The Chief Controller defines clear responsibilities and authorities related to the clerical processing of research expenses, etc., and institutes corresponding approval mechanisms.

Article 6 - Duties of clerical staff members

Under the supervision of the Chief Controller, clerical staff members ensure through their expertise the appropriate execution of research expenses, etc., and perform their work with efficiency.

2. The Supervisory Controllers devise training plans to enhance the expertise of clerical staff members.

Article 7 - Investigations, etc.

If an investigation becomes necessary related to the alleged misuse of research expenses, etc. based on information or accusation from inside or outside the University

or based on an internal audit, the Chief Controller has the matter investigated pursuant to a fair and fully transparent procedure.

2. Investigation procedures related to the misuse of research expenses, etc. are devised by the Chief Controller.

Article 8 - Malfeasance prevention planning

In order to prevent from the outset of the misuse of research expenses, etc., the Chief Controller identifies and analyzes the possible causes of misuse and devises plans for malfeasance prevention.

Article 9 - Appropriate operation and control activities of research expenses, etc.

To ensure appropriate operation and control activities of research expenses, etc., the Chief Controller charges members of staff or sections of the organization with the steady implementation of the malfeasance prevention plans stipulated in Article 8, and conducts necessary reviews of malfeasance prevention plans based on the implementation status.

Article 10 - Contact for inquiries

The Chief Controller establishes consultative frameworks to ensure clearly defined and integrated operations regarding the clerical procedures for research expenses, etc. at the University.

2. The Chief Controller establishes a contact for inquiries from inside and outside the University concerning the clerical procedures for research expenses, etc.

Article 11 - Whistleblower contact

The Chief Controller establishes a whistleblower contact for information or accusations from inside and outside the University that allege the misuse of research expenses, etc.

2. With regard to the operation of the whistleblower contact, measures must be taken to protect whistleblowers and the persons reported by whistleblowers.
3. Frameworks must be established to ensure that reports and accusations of alleged misuse are appropriately conveyed to the Chief Controller.

Article 12 - Acceptance inspection frameworks

The Chief Controller creates acceptance inspection frameworks for verifying the completion of appropriate payment based on orders for goods and services issued by the University.

Article 13 - Audit frameworks

The Chief Controller creates monitoring and audit systems devised from a University-level perspective to ensure the appropriate control of research expenses, etc.

2. The Management Auditing Section head implements effective audit operations in cooperation with the auditor of the University and the accounting auditor.