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# Research Handbook

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Soka University Office of Faculty Affairs

October 2025

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## Chapter 1 Introduction

### 1-1. Overview of This Handbook

The purpose of this handbook is to help you correctly understand various systems related to research activities and properly use research funds. We hope that you will use this handbook to conduct smooth research activities.

The University has taken the following measures to raise researchers' awareness about research ethics and prevent misconduct in research activities and misuse of research funds:

- (1) As materials for research ethics education, APRIN e-Learning Program (eAPRIN) is introduced in addition to a reading material, "For the Sound Development of Science -The Attitude of a Conscientious Scientist-" (commonly called Green Book).
  - \* The e-learning course is targeted at not only full-time faculty members but also anyone involved in research activities of the University, including graduate students.
- (2) All full-time faculty members are required to complete the compliance education course.
- (3) A seminar of education on research ethics is regularly held.
- (4) Fundamental education on research ethics is provided as part of a subject Academic Writing for Year 1 students, in order to raise undergraduate students' awareness about research ethics.
- (5) iThenticate, a plagiarism detection software for researchers, is introduced.

If you have any questions about research funds or research activities, consult this handbook and/or make inquiries to the Faculty Office before using research funds or conducting research activities.

### 1-2. Overview of Research Promotion Center

As a project under Soka University Grand Design 2015-20, Soka University Research Promotion Center was established on April 1, 2017.

This center aims to promote research activities of the University and provide support to the research activities from their start to sublimation into education and returning acquired outcomes to society.

- (1) Business Description
  - Promotion, support and coordination of research activities;
  - Support of development of researchers of the next generation;
  - Application and management concerning the University's research funds;
  - Application and management concerning external funds, such as public grants-in-aid;
  - Support of industry-academia-government collaboration in research;
  - Promotion of preventive measures for misconduct in research activities and misuse of research funds;
  - Research ethics training;
  - Matters instructed by the president of the University in relation to research; and
  - Planning, and inspection and review of the above items.
- (2) Organization

As organizations that specifically discuss these businesses, the following sub-committees have been set up under the Research Promotion Center Steering Committee as stipulated by Soka University Regulations on Research Promotion Center:

  - Planning and Investigation Committee,
  - International Cooperation and Intellectual Property Strategy Committee,
  - Project Management Committee,
  - Research Ethics Committee, and
  - Publicity Committee.

### 1-3. Soka University Mission Statement

In 1930, educator Tsunesaburo Makiguchi (1871-1944), the founding president of Soka Gakkai, published

the first volume of The System of Value Creating Pedagogy. “Soka” in Japanese means value creation. In essence, to create value means to enhance life. To strive for good, toward peace; To persevere in the challenges to uphold and protect human dignity; to be undaunted by hardship—the essential ideals of Soka education exist in the effort to nurture such creative humanity.

Fellow educator and Makiguchi protégé, Josei Toda (1900-58), succeeded Makiguchi's philosophy of value creation; Toda's vision and values, in turn, was succeeded by Daisaku Ikeda, Soka Gakkai's third president. In 1971, Ikeda founded Soka University, actualizing the goals and ideals of Soka education and put forth the following three founding principles:

Be the highest seat of learning for humanistic education

Be the cradle of a new culture

Be a fortress for the peace of humankind

### **Be the highest seat of learning for humanistic education**

The primary mission of Soka University is value creation, to nurture the creative, life-enhancing potential of each student and to inspire students to employ that potential for the greater benefit of humanity. This is the founder's call.

University education should not be limited to teaching and acquiring specialized knowledge. The lack of distinction between knowledge and wisdom is a prime source of the crisis that modern society faces. What society requires are individuals who are able to freely employ knowledge in order to bring forth the wisdom to creatively confront the challenges of our ever-changing reality. Soka University strives to provide humanistic education that will foster individuals who, exercising wisdom rooted in a rich humanity, can fulfill that requirement.

### **Be the cradle of a new culture**

First established in medieval Europe, universities played a significant role in the development of scholastic philosophy based on Christianity that facilitated the birth of the Renaissance. Today, an integrating philosophy that embraces and brings order to the diversity of human susceptibilities, culture, reason and learning is once again imperative. Such a philosophy, firmly grounded in a recognition of our common humanity, can provide the basis for fostering global citizens, or creative individuals enriched by learning. A global citizen can be defined essentially as an individual of wisdom, courage and compassion—courage to respect and appreciate differences such as race, culture and ethnicity, and to make such differences a source of nourishment for one's own growth; compassion to feel empathy and a sense of identification with people in other parts of the world. Such courage and compassion are themselves a limitless font of wisdom. Soka University aims to be a cradle for the creation of a global culture based on the solidarity of global citizens—a solidarity of creative humanity.

### **Be a fortress for the peace of humankind**

Because of their uncompromising opposition to the militarist regime of Japan during World War II, both Tsunesaburo Makiguchi and Josei Toda were harshly persecuted and incarcerated. Makiguchi died in prison, refusing to abandon his beliefs to the very end; Toda, too, refused to recant. He succeeded Makiguchi's ideals, leaving prison a fierce resolve to create a peaceful society. This resolve was encapsulated in an historic public declaration, in 1957, calling for the abolition of nuclear weapons. In order to actualize his predecessors' vision for peace, Daisaku Ikeda has engaged in wide-ranging dialogue with intellectuals and leading figures of the world, while actively developing grassroots exchanges for peace among people of different nationalities and cultures. Thus, the pursuit of peace lies at the very heart of Soka Education.

Makiguchi advocated a concept of humanitarian competition as the ideal form of competition between nation-states. He saw this form of competition—whereby states compete in terms of their humanitarian contributions to global society—as a progression from the military and economic competition that have dominated human history. There is clearly no greater need today than creative individuals motivated by a sense of humanitarian competition—competition to promote humanity's state of happiness and peace. Soka University's principle of being a citadel for the peace of humankind, a nexus of open dialogue between diverse peoples, encapsulates these ideals.

On the day of our institution's dedication, university founder Ikeda offered the following thoughts as guidelines for students then, now and in the future:



For what purpose should one cultivate wisdom? May you always ask yourself this question!  
Only labor and devotion to one's mission give life its worth.

Soka University will continue to foster value-creating individuals through rigorous academia, forever committed to its mission of serving peace of the world and happiness of people.

## 1-4. Soka University Code of Ethics for Faculty Members

Established on April 1, 2004 (Code)

Soka University is the highest seat of learning established by Dr. Daisaku Ikeda. It is believed that the faculty of the University should admire the founder, understand his founding aim, and engage themselves in education and research by focusing on the three founding principles and with sincerity and passion.

The primary founding principle of Soka University is “humanistic education.” Humans are to be refined and developed through person-to-person interactions. Soka education aims to foster a well-rounded character and an excellent personality, and is based on the dignity of life. Secondly, the University aspires for “the creation of a global culture.” We should endeavor to create a global-citizen culture that respects and embraces ethical and regional differences. Our third principle is to strive to attain the “peace of humankind.” Peace is the dearest wish of humankind and the great goal of Soka education.

Now that we're into the new century, our education supporting these founding principles is expected to play a more significant role. The role is to produce a group of outstanding human resources responsible for the new era. Since its foundation, the University has adopted the “Students First” principle and dedicated itself to education for the sake of students. What is needed of faculty engaged in education is to wish for the growth and happiness of students who are responsible for the future and be devoted to their duties.

What is the mission of Soka University? What is its responsibilities? These questions naturally come down to professional ethics as people involved in university education. They are reasonably expected to respect basic human rights, maintain intellectual integrity and fulfill social responsibilities, and further should contribute to the development of the University by fully understanding the noble purpose and educational policy the University holds and putting them into practice.

We, all faculty members, will abide strictly by the provisions of this Code of Ethics and renew our determination to further develop Soka University.

### Articles of Code of Ethics

#### 1. Ethics for Soka University

Faculty members shall deeply understand that they are a member of Soka University, interact with other members with respect, and work together to help the University achieve its purpose.

- (1) Respect Soka University founding principles and contribute to the realization thereof.
- (2) Endeavor to promote good reputation of Soka University in and outside the University and do not be engaged in any act that could defame and discredit the University.
- (3) Comply with laws, regulations, and internal rules faithfully and cooperate in operating them.
- (4) Fully engage themselves to their duties and participate in joint projects of the University.
- (5) Manage the University assets properly and efficiently and use them only for proper operational purpose. Strictly clarify the distinction between public and private matters and never use the University assets for personal interest.
- (6) Work together with other faculty members to achieve educational results, and sincerely work together with administrative staff to ensure smooth operation of the University based on mutual cooperation.
- (7) For those in a managerial position, take initiative in raising ethical awareness within a department in their charge.
- (8) Maintain a fair relationship with suppliers and other business partners.

#### 2. Ethics as an educator

Faculty members shall be aware that education is to not only convey knowledge and skills but also help a person form his/her character, respond to students' trust and voluntarily strive to develop their own abilities.

- (1) Respect students' personality and human rights and do not commit discrimination, harassment or violation of human rights.

- (2) Endeavor to have students motivated for learning and fully consider students' needs and aspirations about what and how they study. Respond faithfully if they are asked for advice.
  - (3) Be well-prepared and have passion to teach classes and endeavor to conduct a clear and inspiring class.
  - (4) Monitor teaching materials and method and make improvement.
  - (5) Ensure the fairness in giving grades and recognizing credits.
  - (6) Listen to students' opinion and criticism about educational activities with sincerity and respond faithfully.
3. Ethics as a researcher
- Faculty members shall commit themselves to a wide range of valuable research and seek to coordinate the results of research with education.
- (1) Work diligently on research with voracious appetite for mastering their own studies, and publicly present the results of research.
  - (2) Endeavor to reflect research results in education.
  - (3) Use research funds, whether coming from an internal or external source, for their intended purpose, and do not use them fraudulently.
  - (4) Maintain high ethical standards in academic research activities, and do not commit fabrication, falsification, plagiarism or any other misconduct.
  - (5) Respect and fairly evaluate other researchers' academic standpoints. Respond to any opinion or criticism made to yourselves faithfully.
  - (6) When conducting contracted research and the like, give utmost consideration to prevent any act involving conflict of interest. If a conflict of interest situation occurs, cooperate in matters required by the University to minimize its impact to the possible extent.
4. Ethics in relation to society
- Considering the University's role in society, and also as a member of society themselves, faculty members shall value contact points with society, satisfy the expectation and trust that the public has of the University and always make efforts to enhance the University's reputation in society.
- (1) In light of the University's public nature, cooperate with society as much as possible and endeavor to work in harmony with communities.
  - (2) Interact with the University's supporters, alumni and students' guardians with respect.
  - (3) Ensure that the entrance examination will be held in a fair and proper manner and attend to examinees sincerely.
  - (4) Endeavor to improve societal reputation of the University and faculty members themselves.
  - (5) Proactively disclose accurate information and pay close attention to the protection of personal information, keeping the confidentiality of any secret that may come to their knowledge in the course of business, and respecting intellectual property rights.
  - (6) Recognize environmental problems as an important issue in the University's fulfilling social responsibilities, and always promote activities with focus on environmental conservation and protection of resources.
  - (7) Raise awareness of health and safety, make continued effort to ensure health and safety at the University and take prompt and accurate measures in case of a contingency.

## **1-5. Soka University Code of Conduct for All Members Involved in Operation and Management of Competitive Funding, etc.**

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Established on March 20, 2015

1. The University sets forth this Code of Conduct in accordance with Soka University Code of Ethics for Faculty Members and Soka University Code of Ethics for Staff Members. All members involved in operation and management of competitive funding and other funding programs shall comply with this Code of Conduct.



2. Researchers including faculty members shall act in accordance with the following set of the code of conduct:
  - (1) Take pride as a person engaging in research and be aware of the mission thereof;
  - (2) Do not misuse research funds;
  - (3) Do not have involvement in misuse of research funds;
  - (4) Do not allow their colleagues to misuse research funds; or
  - (5) Do not tolerate misuse of research funds.
3. Staff, etc. handling research funds shall act in accordance with the following set of the code of conduct:
  - (1) Understand the regulations and the plan to prevent misconduct in research activities and misuse of research funds, and disseminate them to researchers;
  - (2) Do not allow their colleagues to misuse research funds; or
  - (3) Do not tolerate misuse of research funds.

## 1-6. Soka University Regulations on Prevention of Misconduct in Research Activities

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Established on March 20, 2015

(Purpose)

Article 1 These regulations set forth necessary matters for preventing misconduct in research activities (“Misconduct”) at Soka University (“University”).

(Researchers)

Article 2 The term “Researchers” used in these regulations means faculty and staff members and students of the University who are involved in research activities and any other person involved in research activities by using facilities or equipment of the University.

(Misconduct)

Article 3 The term “Misconduct” used in these regulations means any of the following acts in published research paper(s) or other forms of publication:

- (1) Fabrication: Making up non-existent research data and research results, etc.
- (2) Falsification: Manipulating research materials, equipment and processes to change research data or results obtained from research
- (3) Plagiarism: Appropriating the ideas, analysis, analytical methods, data, research results, research paper(s), or words, etc. of other researchers without obtaining the permission of the researchers or giving appropriate credit
- (4) Duplicate submission: Submitting essentially the same research paper as one that has already been published or submitted to another journal, etc.
- (5) Inappropriate authorship: Failure to attribute authorship of a paper to the qualified authors
- (6) Paper split: Dividing one research paper into parts and inappropriately making public them
- (7) Other acts: Violation to laws such as copyright law or researcher integrity

(Person or Persons Committing Misconduct)

Article 4 The term “Person or Persons Committing the Misconduct” used in these regulations means any of the following persons who have committed the Misconduct provided for in the preceding article:

- (1) Authors (including coauthors) who have committed the Misconduct;
- (2) Persons involved in the Misconduct other than authors; or
- (3) Persons responsible for the content of any research paper(s) or other forms of publication connected with the Misconduct.

(Research Funds)

Article 5 The term “Research Funds” used in these regulations means any of the following research funds:

- (1) Internal research funds provided by the University;
- (2) Public research funds acquired as competitive funding, such as Grants-in-Aid for Scientific Research;
- (3) Contracted research funds or research grants provided by corporations, etc.;
- (4) Research funds provided by governmental agencies, independent administrative agencies, local governments, government-affiliated corporation, etc.; and
- (5) Other funds provided for research purposes.

(Departments)

Article 6 The term “Departments” used in these regulations means faculties, graduate schools, School for Excellence in Educational Development, Japan Studies Center, Distance Learning Course, research institutions and other organizations of the University.

(Accountability Structure)

Article 7 1. The University has established the position of the Chief Administrative Officer who supervises the prevention of Misconduct across the University and assumes ultimate responsibility therefor, and shall place the President in this position.

2. The University has established the position of the Supervising Officer who assists the Chief Administrative Officer, supervises the prevention of the Misconduct and holds substantive authority as the Research Ethics Education Officer across the University, and shall place the Vice President appointed by the President in this position.

3. The University has established the positions of the Deputy Supervising Officer and the Deputy Research Ethics Education Officer who assist the Supervising Officer, and shall place the Secretary General of the Headquarters and the Secretary General of the University in these positions respectively.

4. The University has established the position of a person responsible at department who holds substantive authority for the prevention of the Misconduct at a Department, etc. of the University and serves as the Department Research Ethics Education Officer for the Department, etc., and shall place the head of each department, such as a dean in this position.

(Department Responsible for Preventing Misconduct)

Article 8 1. The University has set up the Ethics Committee for research activities as a department responsible for preventing the Misconduct (“Ethics Committee”) under the supervision of the Chief Administrative Officer.

2. The Ethics Committee is in charge of the following matters:

- (1) Matters regarding the planning and implementation of education on research ethics;
- (2) Matters regarding the developing and implementation of plans to prevent the Misconduct;
- (3) Matters regarding the identifying of factors that could cause misconduct and improvement thereof;
- (4) Matters regarding the internal audit of research activities; and
- (5) Other matters regarding the Misconduct.

3. The Ethics Committee consists of the following members and is chaired by the person listed in the item (1) of this section. However, the chairperson may have any person other than the committee members attend if he/she deems it necessary.

- (1) Supervising Officer
- (2) Deputy Supervising Officer
- (3) Person responsible at department who is appointed by the Chief Administrative Officer
- (4) Any other person appointed by the Chief Administrative Officer

4. The term of service of the members shall be the same as the term of office of their respective positions. However, the term of service of the member listed in the item (4) above shall be two years and the member may be reappointed.

5. The chairperson shall convene the Ethics Committee if he/she deems it necessary.

6. A resolution of the Ethics Committee may be adopted by a two-thirds majority vote of the attending members at a session where at least one-half of the total members are present.

(Education on Research Ethics)

Article 9 1. The University shall provide education on research ethics at certain intervals in order to prevent the Misconduct from occurring and to promote fair research activities.

2. All Researchers involved in research activities at the University are required to receive the education on research ethics.

3. The Research Ethics Education Officer and the Department Research Ethics Education Officers must endeavor to promote and firmly establish education on research ethics as well as enhance researchers’ integrity.

4. In addition to the education on research ethics, the persons responsible at department shall each create environment, including the appointment of a mentor capable of giving appropriate support and advice so that younger Researchers, etc. can perform research activities on their own.

(Obligations of Researchers)

Article 10 Researchers shall comply with the following obligations:

- (1) Researchers must not commit any Misconduct;
- (2) Researchers must not take part or have involvement in any Misconduct committed by other researchers;
- (3) Researchers, etc. must not accuse other researchers, etc. of misconduct based on ill-intentioned false whistleblowing or groundless information of the misconduct;
- (4) Researchers, etc. must disclose samples, materials, research data and other matters for research activities connected to published research paper(s) or other forms of publication (“Research Data”) upon request, and repeat or demonstrate results obtained from research.
- (5) Researchers must not use Research Funds by means of the Misconduct.
- (6) Researchers must participate in education on research ethics held by the University.
- (7) Researchers must clarify division of tasks and roles, responsibilities and other matters in relation to co-researchers.
- (8) In a research project involving multiple Researchers, a representative researcher must appropriately confirm the whole picture of research activities and research results.
- (9) When withdrawing any published research paper, researchers, etc. must report to the Ethics Committee via the person responsible at department.
- (10) In addition to these regulations, researchers, etc. must comply with various rules of the University, including Soka University Code of Ethics for Faculty Members and Soka University Code of Ethics for Staff Members.

(Retention of Research Data)

Article 11 Researchers, etc. must retain and manage the Research Data in a state where the data can be disclosed. Specific retention period, management method and other matters shall be set forth separately.

(Whistleblowing)

Article 12 1. The University shall set up contact offices for receiving whistleblowing and consultation regarding the Misconduct at the Faculty Affairs Office.  
2. Measures, etc. for any suspicion of the Misconduct arising out of whistleblowing, etc. shall be set forth separately.

(Miscellaneous Provisions)

Article 13 Administrative duties for these regulations shall be managed by the Faculty Affairs Office.

## **1-7. Research Data Management and Publication Policy**

Soka University (hereinafter referred to as “the University”) based on the founding spirit of the University, in accumulating the results obtained through research activities and aiming at further development of academic research and giving back to society, has formulated the following policy regarding the management and publication of research data obtained in the process of the research activities.

(Definition of Research Data)

In this policy, “Research Data” is defined as any information, both digital and non-digital, gathered or produced by the researchers of the University in the process of their research activities.

(Management of Research Data)

The researchers have the rights and responsibilities to manage the research data gathered or produced by the researchers and must manage the research data in compliance with the legal and ethical requirements given

(Publication of Research Data)

The researchers publicize the research data as much as possible in compliance with the legal and ethical requirements given the nature of the respective fields and promote its utilization.

(Role of the University)

The University is responsible to the researchers for providing the environment to support Research Data Management and Publication.

(Review of this policy)

This policy will be reviewed in accordance with changes in society or academic circumstances.

## 1-8. Guidelines for Retention, etc. of Research Data

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### 1. Purpose

This document provides guidelines for overview, retention periods, retention methods, disclosure methods and the like of research data to be retained or disclosed in accordance with Article 11 of Soka University Regulations on Prevention of Misconduct in Research Activities (No. 442 regulations established on March 20, 2015) in order to facilitate proper research activities.

### 2. Record and Retention of Research Activities

- (1) It is highly recommended to keep records of the process of research activities, including experiment and survey, on lab notebooks or the like.
- (2) On lab notebooks, sufficient information on operational records of testing and conditions of data acquisition and the like must be described so that it can be used and verified at a later date, and it must be prepared in a form that does not allow subsequent alteration.
- (3) Lab notebooks must be appropriately retained as primary information records of research activities.
- (4) Experiment notebooks, numerical data, images, samples, equipment, etc. that were used as a basis for published research results, such as papers and reports (“Research Data”) must be retained in a proper manner that could withstand subsequent use and verification. When retaining the data, ensure that the person who prepared it, the date and time of preparation, attribute and the like will be maintained, so that the data can be retrieved or otherwise handled.
- (5) A researcher who produced the Research Data shall be responsible for retaining or managing the data. Even after the researcher is transferred to another institution or retires, the data must be managed properly for the period set forth in these guidelines.
- (6) The Research Ethics Education Officer and a person responsible for research must endeavor to, as part of education on research ethics, educate and instruct researchers with regard to appropriate retention, management and the like of the Research Data in accordance with these guidelines and other relevant rules.
- (7) The Research Data relating to undergraduate students’ graduation thesis shall be managed as appropriate and necessary at the discretion and risk of each instructing professor.

### 3. Retention Period

- (1) Out of the Research Data, etc., materials, such as lab notebooks, numerical data and images etc. used as a basis for writing a paper, shall be retained for 10 years after the publication of the paper, etc. in principle. Electronic data shall be retained with information such as the person who prepared it, the date of creation, attribute and the like and after creating appropriate backups so that the data will be available again. Paper-based materials other than the above should also be retained for at least 10 years, but if there are unavoidable circumstances, such as restriction in storage space, they may be destroyed to the extent that such destruction can be reasonably justified.
- (2) Out of the Research Data, etc., tangible things, such as samples (test samples and specimens), equipment and the like shall be retained for five years after the publication of the paper, etc. in principle. However, this shall not apply to things that are inherently difficult to be retained or stored, or fairly costly to be retained.
- (3) These guidelines set forth minimum retention periods, and if the paper, etc. is regarded as an extremely remarkable research achievement by global standards, if it is possible to retain it for a longer period, or else, the retention period may be extended as necessary regardless of the one set forth herein.
- (4) As for data that was not used as a basis for the presentation of research results, such as papers, or data, etc. that will no longer be used, researchers, a person responsible for research, department head

and the like shall determine the retention period thereof as necessary.

- (5) Cases such as where the data is intentionally destroyed without reasonable reason prior to the expiry of the retention period set forth herein may be deemed as misconduct.

#### 4. Handling in Case of Retirement

When a researcher of his/her group is transferred to another institution or retires, a person responsible for research shall confirm with the said researcher about the basic information on materials that should be retained in connection with research activities conducted by the said researcher, such as the title of relevant paper, the storage location of research data and the said researcher's contact address if it is necessary to contact subsequently, and put down such information in writing and retain the document in a trackable manner. Also it is necessary to take measures such as creating and retaining a backup of the Research Data. A department head or the like shall apply this correspondingly to cases where a person responsible for research is transferred to another institution or retires.

#### 5. Disclosure

Researchers and a person responsible for research activities shall, upon request, explain the appropriateness of research activities based on scientific grounds concerning the research results published in the form of a research paper and the like, and disclose the Research Data if necessary. They shall remain responsible after transferring to another institution or retiring.

#### 6. Handling at Each Department

Each department shall determine its handling in accordance with these guidelines. In doing so, characteristics of research field, research community's opinions, circumstances at each department should be taken into account.

#### 7. Miscellaneous Provisions

If the handling and retention period of personal data, etc. and research Data, etc. are provided for under relevant laws and regulations, the handling and retention period of the Research Data shall be subject to such laws and regulations. In addition, if there is any agreement with a funding agency on deliverables of a certain research project, the retention period thereof shall be subject to the agreement. However, if the retention period under laws and regulations or agreement, etc. is shorter than the period set forth herein, the retention period of the Research Data, etc. shall be subject to these guidelines.

#### 8. Effective Date

These guidelines shall be effective from April 1, 2019.

## 1-9. Contact Offices for Consultation and Reporting

The University has set up contact offices that receive consultation and reporting for parties in and outside the University to whistle-blow any misuse of research funds and misconduct of research activities.

### <1> Contact Offices for Consultation about Spending Rules of Research Funds

- Contact offices for receiving consultation from internal parties

Building	Department	Phone	Fax
Global Square	Faculty Administration Office/Research Management Office	042-691-9333	042-691-8232
	Faculty of Economics Office	042-691-9333	
	Faculty of Business Administration Office	042-691-8032	
	Faculty of Letters Office	042-691-8047	
	Faculty of International Liberal Arts Office	042-691-6904	
	Research Support Office	042-691-9492	
	Learning Support Services	042-691-7009	042-691-6941



	Global Core Center	042-691-7033	042-691-5654
	International Affairs Office	042-691-8200	042-691-2039
Central Tower	Faculty of Law/Law School Office	042-691-9476	042-691-8507
	Distance Learning Division Office	042-691-3451	042-691-9307
Faculty of Education Bldg.	Faculty of Education/Graduate School of Teacher Education Office	042-691-9378	042-691-9332
Faculty of Nursing Bldg.	Faculty of Nursing Office	042-691-9495	042-691-8506
Art Bldg. A	Ikedo Research Institute for Soka Education Office	042-691-5623	042-691-5654
Art Bldg. C	International Research Institute for Advanced Buddhology Office	042-691-2695	042-691-4814
Faculty of Engineering Bldg.	Faculty of Science and Engineering Office	042-691-9400	042-691-9311

○ Contact points for consultation of external parties

Building	Department	Phone	Fax
Central Tower	Accounting Department of Finance Office	042-691-2214	042-691-4064

## <2> Contact Offices for Reporting, Whistleblowing and Consultation about Research Activities

- Contact points for reporting, whistleblowing and consultation about misconduct of research activities (both from internal and external parties)

Building	Department	Phone	Fax
Global Square	Faculty Administration Office /Research Management Office	042-691-9333	042-691-8232

## <3> Contact Offices for Whistleblowers and Contact Offices for Reporting and Whistleblowing about Misuse of Public Research Funds

- Contact offices for receiving whistleblowing (both from internal and external parties) and reporting and whistleblowing for misuse of public research funds (both from internal and external parties)

Building	Department	Phone	Fax
Central Tower	Internal Audit Office	042-691-2214	042-691-4064

## <4> How to Receive Consultation and Reporting

- Consultation and reporting may be made by phone, email, fax, in writing or in person.
- To help us accurately understand information provided by a whistleblower and take prompt actions, if you make a report in writing, use the forms posted on the University's website: namely the Consultation Form of Research Misconduct, the Reporting Form of Research Misconduct or the Whistleblowing Form.
- Operational hours by phone: 10 : 00 - 12 : 00, 13 : 00 - 17 : 00  
\* Excluding Saturdays, Sundays, public holidays and Year-end and New Year holidays.

## Chapter 2 Response to Misuse of Research Funds and Misconduct in Research Activities

### 2-1. What Are Misuse of Research Funds and Misconduct in Research Activities?



## <1> Misuse of Research Funds

The following examples of fraudulently receiving research funds by preparing false documents etc. that is not based on the fact and submitting it as an evidence of the fact to the University shall be deemed as misuse of research funds:-

### (1) Fictitious honoraria and wages

(Example) A researcher received excessive billing amount for honoraria and wages to be paid to Research Collaborators by logging more hours in the attendance record than their actual working hours and submitting the record to the University.

(Example) A researcher paid honoraria or wages different from the actual state to students, etc., had them returned in order to use as expenses for maintenance and management, etc. of the laboratory.

### (2) Fictitious travel and padded travel expenses

(Example) A researcher purchased discount air tickets, but had a travel agency issue an estimate and receipt of regular fares in order to claim inflated travel expenses.

(Example) A researcher received travel expenses from another research institute but claimed the same travel expenses to the University in order to receive the expenses redundantly.

(Example) A researcher purchased tickets as part of a packaged plan or the like but claimed the full amount at a regular rate in order to pocket the surplus.

(Example) A researcher changed the itinerary or the like but claimed the travel expenses based on the original itinerary to pocket the surplus.

(Example) A researcher cancelled the travel but received travel expenses falsely by submitting a fictitious travel report in an attempt to use it for another research travel.

### (3) Fictitious order (deposit) and alteration of documents

(Example) To make up for the shortage of research funds, a researcher made a supplier issue a delivery statement at a date of the following fiscal year for the goods that had been delivered in March in an attempt to enable the researcher to make payment with the budget for the following fiscal year.

(Example) To keep unused research fund, a researcher placed a fictitious order to a supplier and had the supplier manage the paid amount as deposit so that the paid amount can be used to receive goods, etc as needed in the following year or later.

## <2> Misconduct in Research Activities

Misconduct in research activities includes the following cases, such as the fabrication of data, survey results, etc. willfully made, or due to significantly failing to perform a researcher's basic duties:

### (1) Fabrication

Making up non-existent research data and research results, etc;

### (2) Falsification

Manipulating research materials, equipment and processes to change research data or results obtained from research;

### (3) Plagiarism

Appropriating the ideas, analysis, analytical methods, data, research results, research paper(s), or words, etc. of other researchers without obtaining the permission of the researchers or giving appropriate credit;

### (4) Duplicate submission

Submitting essentially the same research paper as one that has already been published or submitted to another journal, etc.;

### (5) Inappropriate authorship

Failure to attribute authorship of a paper to the qualified authors;

### (6) Paper split

Dividing one research paper into parts and inappropriately making public them; and

### (7) Miscellaneous Provisions

Violation to laws such as copyright law or researcher integrity.

## 2-2. Initiatives for Prevention of Misuse of Public Research Funds and Misconduct in Research Activities

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After establishing “Guidelines for Management and Audit of Public Research Funds at Research Institutions (Practice Standards)” in February 2007, the University set up the Compliance Promotion Office. The University, as a responsible research institution, has inspected and reviewed the rules for management and operation of public research funds, and, through internal audit and monitoring, performed continuous verification as to where a risk of misconduct exists and how to remove it. In this background, the University has established the regulations for prevention of misuse of public research funds, set up contact offices for reporting, established regulations for whistle-blowing and disciplinary actions, developed a plan to prevent misconduct in research activities and misuse of research funds and thus created the environment with control function as a responsible institution, so that researchers can use research funds appropriately and help develop research activities.

The University will continue to take effective initiatives, etc. and take steps to prevent any misuse of research funds and any misconduct in research activities in accordance with these guidelines as revised in February 2014 and “Guidelines for Response, etc. to Misconduct in Research Activities” approved in August 2014.

### <1> Accountability Structure

#### (1) Prevention of Misuse of Public Research Funds

The University has clarified the accountability structure within the institution to appropriately operate and manage public research funds, and disclosed it internally and externally. The University clarifies the accountability structure in accordance with Soka University Regulations on Prevention of Misuse of Public Research Funds.

##### ○ Chief Administrative Officer: President of the University

Article 3-1 The Chief Administrative Officer is to supervise the operation and management of research funds across the University and holds ultimate responsibility therefor, and the President assumes this position.

##### (Role)

Develop and disseminate the basic policy of preventive measures of misconduct in research activities and misuse of research funds and take necessary steps to execute the measures. In addition, ensure that the Supervising Officer and the Compliance Manager, etc. responsibly engage themselves in operation and management of research funds, etc.

##### ○ Supervising Officer: (main-person in charge) Vice President [appointed by the President], (sub-person in charge) the Secretary General of the University, and the Secretary General of the Headquarters

Article 3-2 The Supervising Officer is to assist the Chief Administrative Officer and hold substantive responsibility and authority over the operation and management of research funds across the University, and Vice President appointed by the President assumes this position. The Secretary General of the Headquarters and the Secretary General of the University shall assist the Supervising Officer as Deputy Supervising Officer.

##### (Role)

Supervise the cross-sectional system for preventive measures of misconduct in research activities and misuse of research funds, develop and implement specific across-the-board measures based on the basic policy, confirm the implementation status and report it to the Chief Administrative Officer.

##### ○ Compliance Manager: (main-person in charge) head of each department, such as a dean, (sub-person in charge) head of each administrative organization, such as clerical supervisor of the Faculty Office

Article 3-3 The Compliance Manager holds substantive authority over the operation and management of research funds at each department, etc. of the University, and the head of each department, such as dean assumes this position. A head of each administrative organization, such as Clerical Supervisor of the Faculty Office shall assist the Compliance Manager as the Deputy Compliance Manager.

##### (Role)

- Take measures at a department, etc. under their own supervision or instruction, confirm the implementation status and report it to the Supervising Officer.
- In order to prevent any misconduct in research activities and misuse of research funds, provide compliance education for all faculty and staff members etc. involved in operation and management of research funds, etc. in each department, etc. and monitor and supervise the attendance status.
- Monitor whether members appropriately manage and execute research funds, etc. at a department, etc. under their own supervision or instruction, and instruct improvement as necessary.

## (2) Misconduct in Research Activities

The University has clarified the accountability structure within the institution to ensure that researchers can facilitate research activities in a fair manner, and disclosed it internally and externally. The University clarifies the accountability structure in accordance with Soka University Regulations on Prevention of Misconduct in Research Activities.

### ○ Chief Administrative Officer: President of the University

Article 7-1 The University has established the position of the Chief Administrative Officer who supervises the prevention of Misconduct across the University and assumes ultimate responsibility therefor, and shall place the President in this position.

### ○ Supervising Officer: (main-person in charge) Vice President [appointed by the President], (sub-person in charge) the Secretary General of the University, and the Secretary General of the Headquarters

Article 7-2 The University has established the position of the Supervising Officer who assists the Chief Administrative Officer, supervises the prevention of misconduct and holds substantive authority as the Research Ethics Education Officer across the University, and has the Vice President appointed by the President assume this position.

Article 7-3 The University has established the positions of the Deputy Supervising Officer and the Deputy Research Ethics Education Officer who assist the Supervising Officer, and shall place the Secretary General of the Headquarters and the Secretary General of the University in these positions respectively.

### ○ Person responsible at department (the Research Ethics Education Officer): Head of each department such as dean

Article 7-4 The University has established the position of a person responsible at each department who holds substantive authority for the prevention of misconduct at each department, etc. of the University and serves as the Research Ethics Education Officer for each department, etc., and shall appoint the head of each department such as dean to this position.

## <2> Organization of Training Session

### (1) Compliance Education

The University has provided the compliance education program since FY2014 (Since FY2023, the program has been called Research Fund Compliance Training). A researcher who has not completed the program is not allowed to apply for competitive funding such as KAKENHI.

- Teaching materials
  - Watch the video published by the Ministry of Education.  
“Guidelines for the Management and Audit of Public Research Funds at Research Institutes”
  - Read the "Research Handbook" of Soka University.  
※ After completing the compliance education program, submit the written pledge and the comprehension check sheet by online.

### (2) Education on Research Ethics

The University has provided the education program on research ethics since FY2014 along with the compliance education program.

As a result of the consideration and discussion at the Research Ethics Committee and the Research

Promotion Center in FY2020, it was decided that, starting from April 2021, all full-time faculty members and graduate students would be required to take eAPRIN, an e-learning program developed by the Association for the Promotion of Research Integrity (APRIN) for the purpose of further promoting fair research activities.

- Teaching material • APRIN e-Learning Program (eAPRIN)    <https://edu.aprin.or.jp/>  
\*Researchers are required to attend this e-learning program every 5 years.

(3) Education Seminar on Research Ethics

In addition to the above sessions, the University has periodically held the education seminar on research ethics by inviting external lecturers for instructors and staff and graduate students of humanities and social sciences and science and engineering fields. We encourage all researchers to participate in the seminar to prevent research-related unintentional misconduct.

### <3> Written Pledge (Researchers and Suppliers)

(1) Written Pledge by Researchers

When attending the compliance education program, researchers, etc. who manage and operate competitive funding, etc. and apply therefor will be asked to sign a written pledge as required by the guidelines. Please note that you may not apply for any competitive funding, such as KAKENHI without submitting the written pledge.

(2) Written Pledge by Suppliers

To prevent collusive relationship with suppliers, in light of certain business transactions with us, suppliers are asked to submit a written pledge against misuse of research funds.

1. Suppliers with certain business transactions with us (number of transactions, amount, etc.)  
Specifically, such certain business transaction means 10 transactions or more per year, or total sales of 1 million yen or more per year with the University.
2. Monopoly or oligopolistic suppliers  
Laboratory consumables used by the Faculty of Science and Engineering

### <4> Rules (Order, Acceptance Inspection and Management)

(1) Additional Check Items to the Purchase Request Form and the Reimbursement Request Form

In order to clarify authorities and responsibilities regarding orders (that is, responsibilities in accounting, including accountability for the fairness of selecting a supplier and the appropriateness of an order amount, and liability to indemnify shall belong to a purchaser), new check items were added to the Purchase Request Form and the Reimbursement Request Form.

(2) Acceptance Inspection of Special Services

As for special services (such as development and creation of database, programs and digital contents, and maintenance and inspection of equipment), which have any tangible deliverables, an acceptance inspection shall be performed based on the said tangible deliverables and documents evidencing the performance such as a completion report (specifications/work process). If there are no tangible deliverables, on-site confirmation shall be performed with the presence of the inspector, etc.

(3) Handling of Articles Easily Convertible to Cash

As for articles easily convertible to cash (PCs, tablets such as iPad, video cameras, digital cameras, TVs, monitors, projectors, audio recording equipment, video recording equipment and equivalents) that were purchased with competitive funding, it is necessary to clarify the location of each article by attaching the asset label on it, for example, and also confirm actual articles as part of monitoring the usage of research funds.

### <5> Retention of Research Data

The University has established retention periods of the Research Data, etc. in accordance with “Guidelines for Retention of Research Data” as follows:

(Retention Period)

- (1) Out of the Research Data, etc., materials, such as lab notebooks, numerical data and images etc. used

as a basis for writing a paper, shall be retained for 10 years after the publication of the paper, etc. in principle. Electronic data shall be retained with information such as the person who prepared it, the date of creation, attribute and the like and after creating appropriate backups so that the data will be available again. Paper-based materials other than the above should also be retained for at least 10 years, but if there are unavoidable circumstances, such as restriction in storage space, they may be destroyed to the extent that such destruction can be reasonably justified.

- (2) Out of the Research Data, tangible things, such as samples (test samples and specimens), equipment and the like shall be retained for five years after the publication of the paper, etc. in principle. However, this shall not apply to things that are inherently difficult to be retained or stored, or fairly costly to be retained.
- (3) These guidelines set forth minimum retention periods, and if the paper, etc. is regarded as an extremely remarkable research achievement by global standards, if it is possible to retain it for a longer period, or else, the retention period may be extended as necessary regardless of the one set forth herein.
- (4) As for data that was not used as a basis for the presentation of research results, such as papers, or data, etc. that will no longer be used, researchers, a person responsible for research, department head and the like shall determine the retention period thereof as necessary.
- (5) Cases such as where the data is intentionally destroyed without reasonable reason prior to the expiry of the retention period set forth herein may be deemed as misconduct.

#### <6> Compliance Promotion Office

Soka University Compliance Promotion Office has been set up to identify causes of misuse of public research funds and develop a misconduct and misuse prevention plan. Members and responsibilities of Compliance Promotion Office are as follows:

Members: The secretary general of the headquarters, faculty members appointed by the President, personnel of concerned clerical department

Responsibilities: Identify causes of misconduct in research activities and misuse of research funds, develop a plan to prevent any misconduct and misuse, establishment of regulations, enhance awareness and understanding among faculty and staff members, etc., and propose an investigation on any misconduct and/or misuse

#### <7> Monitoring and Audit System

The University has (i) the Internal Audit Office perform audits and (ii) the Compliance Promotion Office conduct monitoring of public research funds every year. **Risk approach audit** set forth in the revised guidelines will be performed as part of the Internal Audit Office's audit as appropriate.

○ Details of risk approach audit:

- (a) Targeting some researchers, extracting researchers' travel expenses for a certain period and then confirming with people at their destination, checking them against their attendance records etc.a, and interviewing the researchers about the travel's purpose and outline without advance notice;
- (b) Interviewing to some part-time employees about actual working conditions;
- (c) Confirmation of actual goods, etc. upon delivery;
- (d) Comparison with suppliers' account books and so on.

#### <8> Disciplinary Actions in Case of Misuse or Misconduct

In case of misuse or misconduct, not only individuals who committed but the research institute they belong to are also subject to disciplinary actions, such as reduction of indirect expenses.

○ Disciplinary Actions for Individuals

- Disciplinary actions at the University

Violators are subject to disciplinary actions based on "Soka University Rules of Employment for Faculty Members," "Soka University Rules of Employment for Staff Members" and other relevant rules.

- Disciplinary actions by funding agencies

Violators are subject to different penalties in each competitive funding program, such as suspension of applying for funds and return of funds. For more details, please check with each competitive funding program.



- Legal actions  
The University or a funding agency may file a civil and criminal complaint.
- Disciplinary Actions for Research Institutions (Universities)
  - Reduction of indirect expenses
  - Additional management conditions (matters for improvement and execution deadline of the improvement)
  - Suspension of distribution
- Disciplinary Actions for Suppliers
  - Business suspension, etc.

## 2-3. Completion of Compliance Education and Education on Research Ethics

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The University has provided programs of compliance education and education on research ethics in accordance with Soka University Regulations on Prevention of Misuse of Public Research Funds and Soka University Regulations on Prevention of Misconduct in Research Activities.

\* Soka University conducts "Compliance Education" under the name of "Research Funds Compliance Training."

### <1> Compliance Education

Purpose: Education provided by an institution to its members to make them understand rules for spending competitive funding in their charge, their responsibilities accompanying such spending, and types of their actions that fall under misconduct in research activities and misuse of research funds, for the purpose of preventing any misconduct and misuse within the institution

Participants: **All researchers who manage and operate competitive funds and concerned faculty and staff members**

Contents: Impact on the institution, matters to be observed (such as operational rules, procedures, whistleblowing system), disciplinary action for the institution in case of any misuse or misconduct identified and individuals' liability to indemnify, funding agencies' actions (such as restriction on application qualifications, etc. and order of return of research funds), audit reports, internal measures against misuse and misconduct at the institution, etc.

Teaching material: See 2-2 .< 2 >.

Documents to be submitted: Written pledge, comprehension check sheet (to be submitted online)

### <2> Education on Research Ethics

Purpose: To ensure that researchers at a research institution learn required code of ethics in order to prevent misconduct and to promote fair research activities.

Participants: **All researchers**

Contents: researchers' code of conduct such as their basic responsibilities and attitude toward research activities, preparation and retention of recording media such as experiment or observation notebooks that are used as research data, retention of test samples or reagents, and clarification of roles and responsibilities among researchers when writing papers  
(Completion of APRIN e-Learning Program eAPRIN is required.)

Teaching material: See 2-2 .< 2 >.

## 2-4. Introduction of iThenticate Plagiarism Detection Support Software

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Starting from FY2019, in order to take preventive measures against misconducts regarding the University's internal publications such as bulletins, in addition to externally published papers, persons in charge of publishing internal bulletins are required to use iThenticate, a plagiarism detection support software to detect any plagiarized part in publications in their charge. From FY2022, all graduate students are required



to use iThenticate when submitting their master's thesis (research paper) and doctoral dissertation.

○ Turnitin, LLC.: iThenticate

An online plagiarism detection tool with a vast and extensive proprietary database of scholarly journals, publications from academic publishers, and Internet web pages (It is accessible from PLAS.)

研究活動を行うあらゆる組織のための、世界標準の剽窃チェックツール



By introducing this tool, it is possible to reduce the risk of unnecessary suspicion of plagiarism, and thus your organization is expected to achieve the uniqueness of academic achievements.

## Chapter 3 Types of Research Funds

○ Points to be considered in executing research funds

- (1) Research funds can be used only for goods and services required for the research.
- (2) Research funds can be used only for expenses incurred during the research period in principle.
- (3) It is necessary to identify a financial source (type of research funds), from which the payment is made. at the time of order placement.
- (4) Expenses cannot be provided unless necessary evidence documents for the expense claim are all set.
- (5) The Facilities Management Office shall place an order of goods via the Faculty Office in principle.
- (6) Public research funds cannot be used in combination with other research funds.

### 3-1. Research Funds for Individual Researchers

Research funds for individual researchers are provided to full-time faculty members to further develop academic research to be made by individuals.

#### 3-1-1. Amounts of Research Funds

The amounts of research funds are as follows. However, any amount determined by each faculty may be provided as the faculty's common research funds. Moreover, research funds may be allocated to each faculty in an incremental fashion according to the level of education and research achievements.

■ Calculation base amount

Professor, associate professor, lecturer	Assistant professor
430,000 yen	185,000 yen

\* Those appointed in the middle of a fiscal year shall receive a monthly pro rata portion of the base amount.

Provided, however, the following calculation base amount will instead be applied to faculty members who did not apply for the Grant-in-Aid for Scientific Research (KAKENHI) in the previous fiscal year (with the exception of newly appointed faculty members, faculty members in the last year before retirement, and Principal Investigators who conduct a continued research project under Kakenhi in the relevant fiscal year):

- (1) Professor, associate professor, lecturer 410,000 yen
- (2) Assistant professor 177,000 yen

<Points to be Noted>

- Each faculty member shall be responsible for the use of the research funds.
- Please contact the Faculty Office about unused amount of research funds during a fiscal year.
- The amount of research travel expenses to be paid from the research funds to individuals shall be up to 250,000 yen per professor, associate professor or lecturer and up to 60,000 yen per assistant professor. If the President deems it necessary, up to 60% of the provided research funds may be

added to this amount. (For example, if the amount of your research funds is calculated in an incremental fashion at 500,000 yen, you may request to the President for approval of using 60% of the amount, which is 300,000 yen, as research travel expenses. In other words, it is possible to add 50,000 yen to the regular maximum amount of 250,000 yen.

- Research funds may not be carried over to the following fiscal year in principle. However, if you are a grantee of competitive funding (such as KAKENHI) as Principal Investigator, up to 300,000 yen (in increments of 10,000 yen) may be carried over only if 100,000 yen or more of the research funds is left unused. If you want to carry over the funds to the next fiscal year, submit an application form to the Faculty Office by the designated deadline. If you carry over the funds as above, 60% of the carried-over amount may be used as research travel expenses. (For example, if 300,000 yen is carried over, 60% of the amount, which is 180,000 yen, may be used in addition to the regular maximum amount of the regular research travel expenses, which is 250,000 yen.)

### 3-1-2. Spending Duration

Research funds may be used from April 1 to March 31 of the following year. Deadlines for purchase request of goods and payment procedures are as follows:

#### = Purchase of Articles and Books, etc. and Other Payment =

- A researcher who wants to purchase articles and books should submit the Purchase Request Form and the Sogaku Service Book Order Form (for order placement to Sogaku Service) to the Faculty Office, etc. **by the third Friday of February**. Especially a researcher who wants to purchase articles or equipment priced at 50,000 yen or more should submit the Purchase Request Form earlier than the above deadline to the extent possible. This order deadline shall also apply to orders placed to Amazon Business.
- If you purchase books, etc. by making payment to be reimbursed later, submit the Reimbursement Request Form (along with books, etc. and receipts) to the Faculty Office, etc. **by the fourth Friday of February**. If you directly place an order of books, etc., submit books, etc., delivery statement and invoice to the Faculty Office, etc. by the above deadline. For payment other than books, articles, etc., submit a delivery statement and invoice to the Faculty Office, etc. by the above deadline.
- Hiring part-timers by using research funds for individual researchers must be carried out by February at the latest.

#### = Travel Expenses =

- Submit the Travel Approval Request Form by the deadline in particular at the end of a fiscal year.
- Claim for travel expenses by the end of the current fiscal year. When you go on **official travel and return to Tokyo on and after the first Friday of March** in particular, inform the Faculty Office, etc. by email, phone, etc. that you completed the travel as planned. If you have any expense to additionally claim or to return to the University on that occasion, claim for travel expenses without delay.
- Due to the accounting principle of one year budget, expenses for a travel shall be paid from the budget for the relevant fiscal year that includes the dates of the travel. If a period of the travel spans two fiscal years (March and April), you must claim for expenses by submitting two sets of claims; one for a period from the departure to March 31 and the other for a period from April 1 to the arrival. If you plan on official travel spanning two fiscal years, be sure to consult the Faculty Office, etc. before submitting the Travel Approval Request Form.

- \* Please note that, if you purchase anything between the above deadline and the end of April (for example, if a delivery statement, invoice or receipt is issued at a date in March), the cost may not be covered by the research funds for the following fiscal year subject to the accounting standards. **In this case, you must pay for the cost yourself.**

## 3-2. Special Research Funds

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Research funds are to financially help full-time faculty members (assistant professors or above) of the Faculty of Science and Engineering to conduct special research in their field. For more information, please refer to the Faculty of Science and Engineering Handbook.

## 3-3. Grants-in-Aid for Scientific Research (KAKENHI)

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Grants-in-Aid for Scientific Research (“KAKENHI”) are competitive research funds that are intended to promote remarkable development of scientific research (based on original ideas of researchers),

encompassing basic to applied researches in all fields ranging from humanities and social sciences to natural sciences. The grants provide financial support for creative and pioneering research projects that will become the foundation of social development. The research projects are selected by peer-review process.

## 3-3-1. Research Categories and Description

Research categories	Description
Grant-in-Aid for Specially Promoted Research	Outstanding and distinctive research conducted by one or a relatively small number of researchers expected to achieve remarkably excellent research results that opens up a new scientific field. The research period is 3 to 5 years (in a truly necessary case, period up to 7 years is acceptable.). The budget ranges from 200 million to 500 million yen per project (Only in a truly necessary case, budget exceeding 500 million yen is asked for.).
Grant-in-Aid for Transformative Research Areas	(A) Research areas proposed through co-creative and interdisciplinary efforts of diverse researchers, which aim to create research areas that will lead the way to radical transformation of and change in the existing framework and/or direction of research as well as upgrade and level-up of scientific research in Japan and nurturing young researchers, and will contribute to the development of the proposed research areas through efforts for joint research and shared use of equipment, etc. (5 years; more than 50 million yen and up to 300 million yen per fiscal year per research area (In a truly necessary case, a budget exceeding 300 million yen may be requested.)) (B) Research areas proposed by compact groups of researchers who will be bearers of the next generation of research with a smaller budget scale (about 3 or 4 groups), which aim to create research areas that will lead the way to radical transformation of and change in the existing framework and/or direction of research as well as upgrade and level-up of scientific research in Japan through more challenging and exploratory research, and expected to lead to the Transformative Research Areas (A) in the future. (3 years; 50 million yen or less per fiscal year per research area)
Grant-in-Aid for Scientific Research (S)	Creative/pioneering research conducted by one or a relatively small number of researchers. 5 years (in principle) 50 million to 200 million yen
Grant-in-Aid for Scientific Research (A), (B), (C)	Creative/pioneering research conducted by one researcher or jointly by multiple researchers. (A) 3 to 5 years 20 million to 50 million yen (B) 3 to 5 years 5 million to 20 million yen (C) 3 to 5 years 5 million yen or less
Grant-in-Aid for Challenging Research (Pioneering)/(Exploratory)	Research conducted by a single or multiple researchers that aims at radically transforming the existing research framework and/or changing the research direction and has a potential of rapid development. The scope of the (Exploratory) category encompasses research proposals that are highly exploratory and/or are in their budding stages. (Pioneering) 3 to 6 years 5 million to 20 million yen (Exploratory) 2 to 3 years 5 million yen or less
Grant-in-Aid for Early-Career Scientists	Research conducted by an individual researcher (*2) who is less than 8 years after Ph.D. acquisition. 2 to 5 years 5 million yen per project.
Grant-in-Aid for Research Activity Start-up	Research conducted by a single researcher who has been freshly appointed to a research position, or who has returned from his/her maternity, childcare or other kinds of leave. Up to 2 years Up to 1.5 million per fiscal year
Grant-in-Aid for	Subsidy for academic publication of research results (books) authored by an individual or a group of researchers.

Publication of Scientific Research Results (Scientific Literature)	
Grant-in-Aid for JSPS Fellows	Funding period is up to 3 years for research conducted by JSPS Fellows (including Foreign JSPS Fellows). As for Cross-border Postdoctoral Fellowship (CPD) the period is up to 5 years.
Fostering Joint International Research	Support of joint international research project conducted by a KAKENHI grantee in collaboration with researcher(s) at foreign university or research institution over a period of 6 to 12 months. The grant seeks to markedly advance research plans for the root research project and to foster independent researchers who can be internationally competitive. (The budget is up to 12 million yen.)
International Collaborative Research	Support of joint international research project conducted by multiple domestic researchers and a researcher who belongs to overseas research institution. In addition to the development of scientific research, the grant seeks to build out infrastructure of joint international research or further strengthen joint international research and to foster researchers who can be internationally competitive. (The period is 3 to 6 years. The budget is up to 20 million yen.)

\* Main research categories are listed.

## 3-3-2. Principles of Management by Institution

The University will take care of all management and various procedures of KAKENHI on behalf of researchers. This allows researchers to fully engage themselves in research so that unintended violations of the rules can be prevented.

When using research funds, comply not only with the KAKENHI Supplementary Conditions and Funding Conditions that are the spending rules set forth by the Japan Society for the Promotion of Science (JSPS) but also with the regulations and rules of the University responsible for the management thereof. If you have any questions about the rules, consult with the Faculty Office staff in charge of KAKENHI.

## 3-3-3. Direct and Indirect Expenses

The KAKENHI grants are divided into “direct expense” and “indirect expense.”

### 1. What are Direct Expenses?

Costs necessary for the implementation of the funded project (including costs necessary for the compiling of research results). Direct expenses are to be used by identifying as cost of goods, travel expenses, personnel cost/honoraria and miscellaneous expenses.

#### • Costs covered by expense categories of direct expenses (examples)

Cost of goods	Costs for the purchase of goods
Travel expenses	Expenses (transportation fee, accommodation fee and daily allowance) for domestic and overseas travels (intended for data collection, various investigations, meetings of research, presentation of research results, etc.) conducted by Principal Investigator, Co-Investigator(s) and Research Collaborators
Personnel cost/Honoraria	Honoraria, remunerations, wages and salaries to Research Collaborator(s) (postdoctoral researchers, research assistants (RAs), researchers belonging to overseas research institutions, and others) who are engaged in organizing materials, assisting in experiments, translation and proofreading work, providing technical knowledge, distributing and collecting questionnaires and collecting information materials for research), and payment to temporary staff agencies
Miscellaneous Expenses	Except for the expense items above, expenditures to carry out the research; for example, the costs for printing, photocopying, developing/printing, correspondence (stamps and phone calls), transport, renting or leasing the research facilities (only where the grant-aided project cannot be conducted in the facilities of the research institution), meetings (rental of the venue and meals (excluding alcohol)), equipment rental (e.g. computers, automobiles, experimental equipment and instruments), equipment repairs, transportation other than travel expenses,

	presentation of research achievements (fees for contributing to the publications of academic societies, website creation, and preparation of pamphlets to publicize the research achievements, costs of PR activities disseminating research achievements to the general public, and other matters) , experiment waste disposal cost, Buyout cost
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- Restriction on use

Direct expenses must not be used for any of the following costs. How to use direct expenses shall be subject to “4-2-1. Scope of Use” in internal research projects, such as research funds for individual researchers.

- (1) Costs related to buildings and facilities (excluding costs for installation, etc., that may become necessary to install goods purchased using direct expenses)
- (2) Costs for dealing with accidents/disasters that may occur during the implementation of the grant-aided project
- (3) Personnel cost/Honoraria for the Principal Investigator or Co-Investigator(s)
- (4) Other costs that should be expended from indirect expenses

- Restrictions on combined use

Combining the direct expense with other non-KAKENHI expenses which have no restrictions on use is unacceptable because of the restriction of the other expenses; unless the expenditure demarcation is identified under a contract and expenses are allotted to each purpose as follows:

<Exceptions>

- (1) If the expenditure demarcation between direct expenses and other expenses can be identified;
- (2) If other expenses without restrictions on use are added to the direct expense and used for the grant-aided project; and
- (3) If facilities to be shared among multiple research projects (joint-use facilities) are purchased by combining funds among different KAKENHI funding, or by adding a research funding program that allows purchasing of equipment to direct expense.

**\*\*** To purchase joint-use facilities, it is now possible to use, in combination with the direct expense, each of the competitive funding programs supported by the five corporations, namely Japan Agency for Medical Research and Development (AMED), Japan Science and Technology Agency (JST), Japan Society for the Promotion of Science (JSPS), Bio-oriented Technology Research Advancement Institution (BRAIN), and New Energy and Industrial Technology Development Organization (NEDO).

- Requirements for combined use of different KAKENHI funding

As long as it does not interfere with the execution of each research plan subject to the combined use, the following requirements must be satisfied:

- (1) Members of a funded project (Principal Investigator or Co-Investigator(s)) who spend expenses when implementing combined use of direct expenses belong to the same research institution.
- (2) Before implementing a combined use, the approval of the research institution must be obtained by explaining the shares of each member of the funded project and reasons thereof, etc. and specifying the same in writing.

- Any interests on the direct expenses and gains derived from foreign currency exchange shall be transferred to the University in accordance with the rules of JSPS.

## 2. What are Indirect Expenses?

Indirect expenses are costs necessary for administration, etc. of the research institution in conjunction with implementation of research, as well as used to improve research environment for Principal Investigator and Co-Investigator(s) and enhance functions of the entire research institution.

- Examples of main uses of indirect expense

○ Cost of Facilities Management Office
- Facility costs (maintenance and management costs, etc.)
- Costs necessary to carry out administrative work
Purchase costs of equipment, consumables expenses, cost of leasing machinery, miscellaneous operational expenses, personnel costs, communication and transport costs, remunerations and honoraria,



domestic and overseas travel costs, meeting costs, printing costs
○ Cost of research department
<ul style="list-style-type: none"> <li>- Costs of common-use items, etc.</li> <li>Purchase costs of equipment, consumables expenses, cost of leasing machinery, miscellaneous operational expenses, communication and transport costs, remunerations and honoraria, domestic and overseas travel costs, etc.</li> <li>- Costs necessary to promote research activities deriving from the application, etc., of the funded research</li> <li>Personnel costs for researchers and research support staff, purchase costs of equipment, consumables expenses, cost of leasing machinery, etc.</li> <li>- Patent related costs</li> <li>- Costs of building, maintaining, and operating research buildings/wings</li> <li>- Costs of building (installing), maintaining, and operating facilities for care of laboratory animals</li> <li>- Costs of building (installing), maintaining, and operating facilities for researcher exchange</li> <li>- Costs of building, maintaining, and operating facilities</li> <li>- Costs of building, maintaining, and operating computer networks</li> </ul>
○ Cost of other related operating departments
<ul style="list-style-type: none"> <li>- Cost of activities to transfer research results</li> <li>- Cost of public relations activities, etc.</li> </ul>

\* In addition to the above-listed costs, research institution may, if the head of the research institution judges the expenditures to be necessary, use indirect expense to improve the R&D environment of researchers who obtain competitive funding and/or improve the functions of the overall research institution. This shall not apply to expenditures which should be covered by the direct expense.

## • Distinction from direct expenses

As for KAKENHI, costs directly necessary for implementing research are covered by “direct expenses,” while costs necessary for administration, etc. of the research institution in conjunction with implementation of research are covered by “indirect expenses.” The following examples show how to distinguish direct expenses or indirect expenses when purchasing specific goods.

[Example 1] Computers that are:

necessary for analyzing data of the KAKENHI aided research project are classified as direct expense.

installed in the shared office for processing accounting work of the KAKENHI grants are classified as indirect expense.

[Example 2] Books that are:

necessary for analyzing data of the KAKENHI aided research project are classified as direct expense.

kept in the library and used by many researchers and users are classified as indirect expense.

- ◎ Researchers must submit the Request for Transfer Indirect Expenses to the President and transfer indirect expense to the University in accordance with “Soka University Internal Rules for Handling of Indirect Expenses of Research Funds.” However, when the researcher moves to another research institution or if the funded project is abolished, indirect expense in an amount equivalent to 30% of the remaining direct expense are to be returned to the researcher. However, if the researcher moves to another institution in the following year or the full amount of indirect expenses for the relevant fiscal year has been spent, the indirect expense may not be returned to the researcher.
- ◎ Unused expenses of the department or section in charge of the grant-aided project as of February 1 shall be transferred into expenses of the University. However, under unavoidable circumstances, expenses may be used on and after February 1 subject to the approval of the President.
- ◎ Please make sure that indirect expense should not be used to cover the costs which should be covered by the direct expense.
- ◎ Please make sure as for combined use of indirect expenses and the other expenses, consult the research support office in advance.

## 3-3-4. Spending Duration

<1> Direct expenses

### (1) Multi-year Funds

For researchers whose research period extends into the next fiscal year



(i) Budget applied to purchasing of goods at the fiscal year end

- (1) KAKENHI (Multi-year Funds) has no deadline for purchase request of goods at the fiscal year end. Goods delivered in February and paid in March shall be purchased by the budget for the current fiscal year, and goods delivered in March and paid in April shall be purchased by the budget for the following fiscal year.
- (2) As for travel expenses spanning two fiscal years (March and April), consult the Faculty Office before the travel.

(ii) Carrying over at fiscal year end

Unused amount of the budget for the current fiscal year may be carried over and added to the budget (granted amount) for the following fiscal year. No special procedures with JSPS are needed. The unused amount shall be stated in the Report on State of Income and Expenditure for each fiscal year.

(iii) Budget for next fiscal year

- (1) When the month of February begins each year, researchers shall prepare the Request for Payment to be submitted to JSPS with regard to KAKENHI to be used in the next fiscal year. The amount requested by this Request for Payment (or granted amount approved by JSPS) will be the budget for the next fiscal year. (Details about the Request for Payment will be informed later.)  
※Furthermore, it is not required to prepare the Request for Payment if researchers whose research period extends into next fiscal year. (Not to be able to demand payment because all grants already have been paid until then.)
- (2) It is necessary to work on the budget for the following fiscal year so that it is possible to start using it in mid- April.
- (3) Advance payment of travel expenses scheduled in early April will not be available because entries on the travel expense system begin from April 1.

■Budgeting of a share of the funds for Co-Investigator(s)

After completing budgeting for Principal Investigator, budgeting of shares of the funds shall be carried out. For the Principal Investigator belonging to an institution other than the University, such budgeting will be carried out after KAKENHI is paid to the University. It is possible, however, to make advance payment to secure sufficient time for research if evidence documents (copies of the notification of planned allocation of the funds, the form for formal application for grant delivery) are submitted to the University. Those who would like advance payment should contact the Faculty Office.

Researchers whose research period ends this year

The procurement of goods in fiscal year-end

Researchers can continue researching until the end of fiscal year on March 31st. Therefore, it is possible to pay in April for the purchase of books or goods, business trips, and hiring of part-timers if it is necessary for the execution of a research project. (At the University, the amount is carried forward and recorded in April)

To not be considered as unplanning last-minute use or unnecessary purchase for budget consumption, please apply for and purchase any necessary goods as early as possible.

■Handling of unused amount

Process of unused amount at fiscal year-end is followings.

- (1) Returning to Japan Society for the Promotion of Science (JSPS)  
※Returning any unused amounts will not cause disadvantage for subsequent KAKENHI reviews.
- (2) Using the budget up by adding private expenses  
As for purchasing consumables and travel expenses, it is possible to pay by combined amount with private expenses so please consult the Faculty Office belonging to in advance.

**(2) Single-year Grants**

(i) Purchasing goods, etc. at the fiscal year-end

Researchers can continue researching until March 31, fiscal year-end. Therefore, it is possible to pay in April for the purchase of books or goods, business trips, and hiring of part-timers if it is necessary for

carrying out of a research project. (At university, the amount is carried forward and recorded in April)  
To not be considered as unplanning last-minute use or unnecessary purchase for budget consumption, please apply for and purchase any necessary goods as early as possible.

(ii) Next fiscal year budget (for continued projects)

Budgeting for the following fiscal year shall be carried out after receiving a notification of the informal decision to grant the funding in April. It is scheduled to start using the budget in mid- April.

■ Budgeting of a share of the funds for Co-Investigator(s)

After completing budgeting for Principal Investigator, budgeting of shares of the funds shall be carried out. For the Principal Investigator belonging to an institution other than the University, such budgeting will be carried out after KAKENHI is paid to the University. It is possible, however, to make advance payment to secure sufficient time for research if evidence documents (copies of the notification of planned allocation of the funds, the form for formal application for grant delivery) are submitted to the University. Those who would like advance payment should contact the Faculty Office.

(3) Indirect expenses (Expenses of department and section in charge)

Any unused expense of a department or section in charge of the grant-aided project as of February 1 of the relevant fiscal year shall be transferred and carried over into expenses of the University under the internal rules. Under unavoidable circumstances, expenses may be used on and after February 1 subject to the approval of the President. However, such expenses must be used by March 31.

## 3-4. Other Competitive Funding Programs

Aside from the KAKENHI program, there are other public research funds granted by ministries of the government. For more information, please see the following websites.

The information on application for external research funds is also posted on “Announcement” of the University website as well as on the digital signage (bulletin board) on the first floor of Global Square.

○ Cabinet Office List of Competitive Funding Programs

<https://www8.cao.go.jp/cstp/compefund/>

■ List of major calls for proposals

Funding Agencies	URL
● Major public funds	
Ministry of Education, Culture, Sports, Science and Technology (MEXT)	<a href="http://www.mext.go.jp/b_menu/boshu/index.htm">http://www.mext.go.jp/b_menu/boshu/index.htm</a>
Japan Society for the Promotion of Science (JSPS)	(KAKENHI) <a href="https://www.jsps.go.jp/j-grantsinaid/index.html">https://www.jsps.go.jp/j-grantsinaid/index.html</a>
	(Others) <a href="https://www.jsps.go.jp/programs/index.html">https://www.jsps.go.jp/programs/index.html</a>
Japan Science and Technology Agency (JST)	<a href="https://www.jst.go.jp/index.html">https://www.jst.go.jp/index.html</a>
Ministry of Health, Labor and Welfare (MHLW)	<a href="http://www.mhlw.go.jp/stf/seisakunitsuite/bunya/hokabunya/kenkyujigyuu/index.html">http://www.mhlw.go.jp/stf/seisakunitsuite/bunya/hokabunya/kenkyujigyuu/index.html</a>
Ministry of Economy, Trade and Industry (METI)	<a href="http://www.meti.go.jp/information/publicoffer/kobo.html">http://www.meti.go.jp/information/publicoffer/kobo.html</a>
Ministry of Agriculture, Forestry and Fisheries (MAFF)	<a href="https://www.maff.go.jp/index.html">https://www.maff.go.jp/index.html</a>
Ministry of the Environment (MOE)	<a href="http://www.env.go.jp/guide/kobo.html">http://www.env.go.jp/guide/kobo.html</a>
Ministry of Land, Infrastructure, Transport and Tourism (MLIT)	<a href="http://www.mlit.go.jp/tec/gijutu/kaihatu/josei.html">http://www.mlit.go.jp/tec/gijutu/kaihatu/josei.html</a>
● Major National Research and Development Agencies	
National Institute of Advanced Industrial Science and	<a href="http://www.aist.go.jp/aist_j/humanres/02kenkyu/task.html">http://www.aist.go.jp/aist_j/humanres/02kenkyu/task.html</a>

Technology (AIST)	
National Institute of Information and Communications Technology (NICT)	<a href="http://www.nict.go.jp/public_trust_info.html">http://www.nict.go.jp/public_trust_info.html</a>
Japan Agency for Medical Research and Development (AMED)	<a href="https://www.amed.go.jp/koubo/">https://www.amed.go.jp/koubo/</a>
National Institute for Materials Science (NIMS)	<a href="http://www.nims.go.jp/research/research_program.html">http://www.nims.go.jp/research/research_program.html</a>
National Research Institute for Earth Science and Disaster Resilience (NIED)	<a href="http://www.bosai.go.jp/tender/study/">http://www.bosai.go.jp/tender/study/</a>
Japan Agency for Marine-Earth Science and Technology (JAMSTEC)	<a href="http://www.jamstec.go.jp/j/whatsnew/">http://www.jamstec.go.jp/j/whatsnew/</a>
Japan Aerospace Exploration Agency (JAXA)	<a href="http://www.jaxa.jp/researcher_j.html">http://www.jaxa.jp/researcher_j.html</a>
New Energy and Industrial Technology Development Organization (NEDO)	<a href="http://www.nedo.go.jp/search/?type=koubo">http://www.nedo.go.jp/search/?type=koubo</a>
National Institute for Environmental Studies (NIES)	<a href="http://www.nies.go.jp/jyutaku_itaku/index.html">http://www.nies.go.jp/jyutaku_itaku/index.html</a>

\* Matters regarding these research funds shall be handled in accordance with the rules for research funds for individual researchers and KAKENHI.

## 3-5. Research Grant, Scholarship Donation

A researcher who desires to accept grants under research grant programs funded by various private foundations must take procedures in accordance with Soka University Regulations on Handling of Research Grant. The regulations set forth the handling of a case where a research grant grantee moves to another research institution and other relevant matters. For more information, please contact your Faculty Office.

A researcher who desires to accept scholarship donations from an individual, a corporation or the like, must take procedures in accordance with Soka University Regulations on Handling of Scholarship Donation. For more information, please contact your Faculty Office.

## 3-6. Contracted Research, Joint Research with Industry

As for contracted research and joint Research with corporations and other partners in the business world, contract procedures must be taken in accordance with Regulations for Handling of Contracted Research and Joint Research in Industry-Academia Collaboration. Regional Industry-Academia Collaboration Center Liaison Office shall take care of contract negotiations with corporations and other organizations. For more information, please contact the Liaison Office.

## Chapter 4 Common Rules for Research Funds

### 4-1. Executing Procedures

Execute research funds according to the following steps. If you have any question, contact the Faculty Office staff in charge of this matter.

#### — (i) Preparation —

1. Be sure to check the appropriateness as a purpose of use of research funds: for example, whether it is within the range of allowed property or amount, or whether the approval was granted to the travel.
2. Identify research funds to be spent (funding source) and understand the budget executing status at the time of order placement.
3. Confirm documents necessary for application and a place they must be submitted to.



#### — (ii) Application and Order —

Submit necessary documents (Purchase Request Form, Travel Approval Request Form, etc.) to a contact office in charge.



#### — (iii) Expense Claim and Acceptance Inspection —

1. Submit necessary evidence documents to a contact office in charge without delay.
2. When goods, etc. are purchased, acceptance inspection shall be performed at the contact office.

## 4-2. Purchase of Goods

The Facilities Management Office shall place an order of goods via the Faculty Office in principle. Submit the Purchase Request Form to the Faculty Office. Regarding the purpose of use of articles to be purchased, prepare yourself to explain why they are necessary for conducting the research.

### <1> Specific Procedures

#### (1) Purchase of Consumables, Equipment

- Submit the Purchase Request Form to the Faculty Office, etc.
- The Facilities Management Office via the Faculty Office, etc. shall place an order in principle.
- Delivered goods, etc. will be handed over after acceptance inspection.

<In case of making payment to be reimbursed later>

- If you make payment for books, consumables, etc. and request for reimbursement later due to unavoidable reasons, the Reimbursement Request Form must be submitted along with a receipt. \*For more information, please see 4-2-2.
- Submit purchased books, consumables and the like, along with evidence documents, to the Faculty Office, etc.  
Acceptance inspection shall be performed.
- It is not allowed to purchase goods priced at 50,000 yen or more (tax included) by making payment to be reimbursed later in principle.
- It is not allowed to purchase articles easily convertible to cash, etc. by making payment to be reimbursed later, even if they are priced under 50,000 yen (tax included), in principle. If there is any ambiguity, consult with the Faculty Office before purchasing.

#### ■ Documents necessary to be submitted (goods, etc./in case of ordering not through the Facilities Management Office)

Category	Purchased price (tax included)	Purchase Request Form	Invoice	Quotation	Delivery Statement	Receipt	Contract
Consumables *1	Less than 50,000 yen	○	○	△	○ *2	△ *3	×
Supplies	50,000 yen or more less than 200,000 yen	○	○	△	○ *2	△ *3	×
Equipment	20,000 yen to less than 1,000,000 yen	○ *4	○	○	○	○	×
	1,000,000 yen to less than 3,000,000 yen	○ *4	○	○ Three suppliers or more	○	○	×
	3,000,000 yen or more	○ *4	○	○ Three suppliers or more	○	○	○

(○ ...required △...may be omitted ×...not required)

<<Notes>>

- \*1 Consumables include laboratory consumables (useful life of less than 1 year and acquisition cost of less than 200,000 yen).
- \*2 A delivery statement may be omitted if purchased goods (and name of the product, number of units, unit price, total price) are identifiable with a receipt.
- \*3 A receipt may be omitted if the payment is made by bank transfer, but required for payment to be reimbursed later.
- \*4 If purchasing goods priced at 500,000 yen or more, it is also necessary to submit an approval request document (along with a statement of reasons prepared by a faculty member) and obtain approval.

- (2) Academic societies' initial membership fees, annual membership fees, convention participation fees
- Submit a document specifying amounts of a society's initial membership fee, annual membership fee or the like, along with an invoice or a receipt.
  - In case of making payment to be reimbursed later, submit a receipt along with the Reimbursement Request Form.
  - Submit a copy of an event guide for a convention, etc. that describes the amount of its participation fee.
    - \* It is allowed to pay with the KAKENHI funds for annual membership fees for the relevant fiscal year or for one-year period starting in the relevant fiscal year and ending in the following fiscal year. Other than the above, consult the Faculty Office, etc. as to the availability of payment beforehand.

- (3) Server rental fees, database license fees, software license fees, etc.

As for server rental fees, database license fees, software license fees, etc., a contract must be entered into for a period within the current fiscal year, or for one-year period or shorter starting in the relevant fiscal year and ending in the following fiscal year. If there is any problem related to a contract, consult with the Faculty Office beforehand. If a contract is made with the monthly payment terms, some of the invoices may arrive during a period when we cannot make payment from research funds. Therefore, make sure that the payment will be made in lump sum in case of a one-year contract.

- (4) Copies of publications

- To make copies of publications, use the photocopier in place for faculty members in the stack room with a prepaid card to be issued at the reception of the library. The card charges will be subtracted from research funds by the Faculty Office, etc.
- With a microfilm reader, you can save materials to your own USB drive. A data in a PDF format can be copied on your recording media.
- You can ask external academic institutions for photocopying a book that is not stored at the library of the University. Make a request for the photocopying on the dedicated site of the library website. The fees will be subtracted from research funds by the Faculty Office, etc.

- (5) Books for researchers

- To place an order with Sogaku Service, use the Sogaku Service Book Order Form.
- Submit purchased books to the Faculty Office, etc. along with an invoice and delivery statement made to "Soka University" for acceptance inspection.
- If a purchased book is a library asset, in addition to the acceptance inspection above, the Library Office will register the book as a library asset. (It takes about two weeks for Japanese books and three weeks for foreign books. It is not possible to receive books for registration at the beginning or the end of a fiscal year.)
- For books purchased from an overseas retailer, you must make payment and request for reimbursement later in principle. In such case, it is necessary to submit the Reimbursement Request Form in addition to a delivery statement and a receipt. \*For more information, please see Page 32.

## ■Necessary documents (books/excluding payment to be reimbursed later)

Category	Intended useful life	Purchase Request Form	Invoice	Quotation	Delivery Statement	Receipt	Contract
Consumables *1	Intended for short term	△ *2	○ *3	△	○ *3	×	×
Publications	Evidently intended for long term	○ *4	○ *3	○ Two suppliers or more	○ *3	×	×

(○ ...required △...may be omitted ×...not required)

### <<Notes>>

- \*1 The "創価大学研究図書 (Soka University books for researchers)" stamp shall be put on even books classified as consumables.
- \*2 If a faculty member directly places an order, the Purchase Request Form may be omitted.
- \*3 Book title, number of units, unit price, total price, etc. must be identifiable.



- \*4 When purchasing goods priced at 500,000 yen or more, it is also necessary to submit the approval request document (along with a statement of reasons prepared by a faculty member) and obtain approval.

## <2> Receipt, Delivery Statement, Invoice, etc.

- A delivery statement and receipt shall be made to “Soka University.” Any delivery statement or receipt made to a faculty member is not acceptable.
- Any voucher without stating date, name of a company and company seal (seal and date) is not acceptable.
- When you are abroad and it is difficult to obtain a receipt, ask the retailer affix its seal/signature on a sales slip instead (if possible).
- If a receipt specifies details of the article (such as product name, book title, number of units, specifications/model number, number of copies, unit price, and total price), a delivery statement may be omitted.
- If a delivery statement or invoice does not specify the details of goods, attach a detailed statement as well.
- Please note that a receipt or an invoice containing something unrelated to research is unacceptable. In addition, a copy of a receipt or an invoice is unacceptable.

## <3> Purchase via Amazon Business

We have introduced purchasing via Amazon Business using research funds. Refer to the user manual issued by the Facilities Management Office for how to use Amazon Business and rules thereon. Use Amazon Business, instead of making payment to be reimbursed later except under unavoidable circumstances.

### 4-2-1. Scope of Use

Research funds are to be provided to pay for costs necessary for research activities. costs not directly related to research activities (including costs for personal use) may not be covered by research funds. See the following chart for details.

If an item to be purchased does not fall under any of the item groups in the following chart, consult with the Faculty Office as to whether purchasing of the item is acceptable before making any purchase. If it is difficult to determine whether an item is covered by research funds or not, the item may be purchased after obtaining internal approval. Submit a written statement of reasons if you are required by the Faculty Office, etc. to submit reasons for purchasing the item using the research funds.

#### ●Items to be covered

Expense categories	Description	Remarks
(1) Newspapers and subscription costs (2) Costs of books	<ul style="list-style-type: none"> <li>○ Purchase costs of academic publications, scholarly journals</li> <li>○ Purchase costs of academic publications, academic materials</li> <li>○ Purchase costs of CDs, DVDs, etc. (software equivalent to books and magazines)</li> </ul>	<ul style="list-style-type: none"> <li>* Accounting categories of books for researchers</li> <li>(1) Newspapers and subscription costs: Books for researchers are to be categorized as newspapers and subscription costs in principle.</li> <li>(2) Expenditures for books: Books evidently intended for long-term use are to be registered as a library asset.</li> <li>(Books with intended useful life of 1 year or more, such as expensive valuable books)</li> </ul>
(1) Costs of supplies (2) Costs of equipment for educational research	<ul style="list-style-type: none"> <li>○ Purchase costs of instruments, PCs, tablets (such as iPad/Wi-Fi models only), peripheral devices of computers, etc.</li> </ul>	<ul style="list-style-type: none"> <li>* Difference between costs of supplies and equipment</li> <li>(1) Costs of supplies: Non-asset consumables that are valued at 50,000 yen or more and less than 200,000 yen per unit or set and having useful life of 1 year or more</li> <li>(2) Equipment for educational research: Equipment valued at 200,000 yen or more per unit or set and recognized as an asset</li> </ul>
(1) Rental fees (2) Other rents	<ul style="list-style-type: none"> <li>○ Rental fees of PCs, automobiles, experimental equipment and instruments, etc.</li> </ul>	<ul style="list-style-type: none"> <li>Rental fees, rents of facilities and equipment</li> <li>* Lease expenses are not covered.</li> </ul>

Cost of consumables	<ul style="list-style-type: none"> <li>○ Costs of consumables, such as stationery, copy paper, recording media (CDs, DVDs, memory cards, etc.), toner cartridges</li> <li>○ Purchase costs of chemicals, instruments</li> <li>○ Purchase costs of software in the form of media</li> </ul>	Non-asset general consumables valued at less than 50,000 yen or having useful life of less than 1 year
Data access fees	<ul style="list-style-type: none"> <li>○ Fees for access to academic digital books</li> <li>○ Fees for access to academic digital journals</li> <li>○ Fees for access to academic database</li> <li>○ License fees of software</li> <li>○ Software upgrade costs</li> </ul>	
Communication and transportation costs	<ul style="list-style-type: none"> <li>○ Delivery costs for sending and receiving papers, materials, etc.</li> </ul>	
Phone charges	<ul style="list-style-type: none"> <li>○ Domestic and international phone, fax charges</li> </ul>	
Costs of stamps and postages	<ul style="list-style-type: none"> <li>○ Costs for stamps, postcards, letter pack, etc.</li> </ul>	Specify a research-related use in Reimbursement Request Form, etc.
Printing and bookbinding costs	<ul style="list-style-type: none"> <li>○ Costs for photocopying and downloading papers, materials, etc.</li> <li>○ Costs of printing and bookbinding papers, materials, etc. to compile research results (excluding expenses for publishing and printing a researcher's own publications, and printing costs of gift publications)</li> <li>○ Photo/data development and printing costs</li> </ul>	
(1) Personnel costs (2) Honoraria (3) Manuscript fees (4) Translation fees (5) Interpretation fees (6) Compensations and fees	<ul style="list-style-type: none"> <li>○ Part-time wages paid to research assistants</li> <li>○ Rewards to be paid to a lecturer</li> <li>○ Compensations for proofreading, translation and interpretation</li> <li>○ Digital processing fees, copyright fees</li> <li>○ Costs for submitting an article to scholarly journals including a society's publication in order to present research results</li> <li>○ Registration fees of a presentation at a society (including poster sessions)</li> </ul>	(1) Personnel cost: Hourly wages for part-timers (organizing materials, assisting in experiments, and assisting in research such as data entries) (2) Honoraria: Honoraria to lecturers, honoraria to those who help survey/research (3) Manuscript fees: Compensations for proofreading and interviewing (4) Translation fees: Compensations for translation (5) Interpretation fees: Compensations for interpretation (6) Compensations and fees: Other compensations and fees * Income tax shall be deducted at source in accordance with Regulations on Payment of Honoraria and Other Rewards.
Other outsourcing expenses	<ul style="list-style-type: none"> <li>○ Costs for outsourced work, such as research data analysis, questionnaire surveys</li> </ul>	
Society's membership fees and participation fees	<ul style="list-style-type: none"> <li>○ Initial membership fees, annual membership fees and participation fees of a society, study groups outside the University (for the current fiscal year only; and including lunch and reception costs that are inseparable from such participation fees.)</li> </ul>	Initial membership fees and annual membership fees can be paid using KAKENHI only when necessary for carrying out research using KAKENHI for Scientific Research. Annual membership fees for the one-year period starting in the relevant fiscal year may be covered by research funds for the current fiscal year.
Travel/transportation expenses	<ul style="list-style-type: none"> <li>○ Travel expenses to attend various meetings such as academic conferences</li> <li>○ Travel expenses to conduct research and survey, and data collection</li> <li>○ Cancellation fees in relation to travel expenses (only if the cancellation is deemed appropriate due to</li> </ul>	

	unavoidable circumstances)	
(1) Repair costs (2) Maintenance costs	<ul style="list-style-type: none"> <li>○ Expenses necessary for repair work of purchased equipment</li> <li>○ Expenses necessary for maintenance of computers, etc.</li> </ul>	(1) Repair costs: Repair work of less than 200,000 yen per item Repair work of 200,000 yen or more per item shall be recognized as capital expenditure and added to the value of the asset.

\* Fees for copying, telephone, fax and information access used in March shall be subtracted from the research funds for the next fiscal year. For more information on the handling of copying fees, contact each Faculty Office.

\* Any instruments, PCs, tablets, PC peripheral devices, etc. that bears an individual person name may not be purchased.

## ●Items not to be covered

Expense categories	Description	Remarks
Meeting expenses and external relations expenses	<ul style="list-style-type: none"> <li>○ Costs of meals, snacks and drinks, and boxed meals</li> <li>○ Costs of gifts for a meeting, summer gifts and year-end gifts</li> <li>○ Other expenses related to ceremonial occasions</li> </ul>	If holding of a meeting, etc. is deemed necessary for executing the project and if the meeting is held during beverage and/or meal time, expenses for meals (excluding alcohol beverages) may be covered by the MEXT competitive funding. *See 5-8. for procedures for spending the research funds.
Expenses deemed as individual income under the tax law.	<ul style="list-style-type: none"> <li>○ Honoraria, compensations and fees exchanged between faculty members of the University</li> <li>○ Purchase costs of the requesting person's own publications (including textbooks) or software, etc. for which the person owns the copyright.</li> <li>○ Expenses for publishing and printing one's own book with intent to sell, and shipping charges for gift books</li> <li>○ Purchase costs of products benefiting an individual, such as products with a premium and a lottery, and other expenses to return any type of interest to an individual (such as purchase of stocks, lotteries or the like)</li> </ul>	
Expenses other than research activities	<ul style="list-style-type: none"> <li>○ Expenses for educational activities such as expenses related to classes (including expenses for official travel)</li> <li>○ Expenses for teaching students such as those related to seminars and clubs (including expenses for travel)</li> </ul>	
Expenses benefiting the person	<ul style="list-style-type: none"> <li>○ Expenses not deemed necessary for research (but judged as benefitting the requester) such as qualifying examination fees, expenses for being certified and expenses for courses to increase knowledge and ability</li> <li>○ Printing costs of equipment, manuscript paper, envelopes, writing paper, business cards and other products bearing an individual name or a laboratory name (except for business cards produced by a supplier designated by the University in accordance with designated specifications)</li> <li>○ Purchase costs of academic version of computer software, etc. that should be owned personally in principle</li> <li>○ Purchase costs of accessories and software, etc. for individually owned goods, etc.</li> </ul>	

	<ul style="list-style-type: none"> <li>○ It is not acceptable to pay for the warranty, etc. added, at the researcher's own expense, to PCs and tablets purchased with research funds.</li> <li>○ Purchase costs of personal seal, rubber stamp and the like</li> <li>○ Printing and sending costs of New Year's cards, mid-summer cards, notices of promotion to a new position and other greeting cards</li> <li>○ Purchase costs of eyeglasses, pocket planners, bags, clothes, cosmetics, clothing accessories, pots, tableware, mobile phones, watches (including smart watches), etc.</li> </ul>	
Expenses related to equipment installed in a laboratory (Purchase costs of equipment to be installed at the University if necessary)	<ul style="list-style-type: none"> <li>○ Desks, tables, bookshelves, telephones, curtains and blinds, dehumidifiers, humidifiers, electric fans, sterilization deodorizers, equipment/consumables against infection, copier, shredder etc.</li> </ul>	purchasing a telephone equipped with a fax may be allowed in light of circumstances.
Other expenses deemed unjustified	<ul style="list-style-type: none"> <li>○ Costs to purchase same or similar equipment or software within the relevant fiscal year or within consecutive two fiscal years</li> <li>○ Expenses for improvement and cleaning buildings and other facilities</li> <li>○ Purchase of book cards, gift certificates and other cash vouchers (excluding postage stamps)</li> <li>○ Purchase of electronic money such as Suica and Edy</li> <li>○ Social gathering fees at academic conference, study group meeting, etc.</li> <li>○ Purchase costs of goods, etc. and travel expenses right before retirement if its appropriate use during the person's tenure is not confirmed. (Any books, consumables, equipment or other articles shall not be taken home at retirement.)</li> <li>○ Purchase of electronic books right before retirement intended to be taken away with the person</li> <li>○ Expenses for printing and sending a large number of copies of papers and materials</li> <li>○ Purchase costs of books, goods, etc. intended to be given to others</li> <li>○ Purchase and rental of terminals equipped with communication functions other than Wi-Fi (mobile carriers' SIM and eSIM communication functions) such as PCs, tablets, smart phones, and Wi-Fi routers</li> <li>○ Basic internet charges and data communication-related costs</li> <li>○ Costs of warranty plans (such as AppleCare) beyond a charge-free warranty period</li> <li>○ Purchase costs of books and magazines for other purpose than</li> </ul>	<p>The MEXT competitive funding programs allow paying for rewards by book cards or other cash vouchers. *See 5-8. for procedures for payment using KAKENHI.</p>

	<p>research, and newspapers (general newspapers), entertainment magazines, music CDs, movie videos, etc.</p> <ul style="list-style-type: none"> <li>○ Admissions of a cinema, theater, art gallery, museum, event venue, etc. for other purpose than research</li> <li>○ Social security premiums for employees</li> <li>○ Non-life insurance premiums for equipment, etc.</li> <li>○ Damages for default on a contractual obligation, etc.</li> <li>○ Patent application, registration fees</li> <li>○ Costs based on a receipt made to an individual person (excluding personnel cost and honoraria)</li> <li>○ Expenses not being processed through a regular commercial transaction or expenses with no receipt or other evidence documents</li> <li>○ Handling costs of accidents and disasters that occurred during research</li> <li>○ Commuting costs between the University and home, transportation costs from a place outside the University to home (including those from an official travel destination to home)</li> <li>○ Purchase costs of goods, etc. intended to use at home</li> <li>○ Cleaning tools and equipment</li> <li>○ Purchase costs of goods, etc. from a faculty or staff member, etc. of the University</li> <li>○ Expenses incurred beyond a contractual term spanning the relevant and following fiscal years (membership fees and software license fees for a one-year period starting in the relevant fiscal year and ending in the following fiscal year may be covered but expenses incurred beyond the period may not.)</li> <li>○ Donations or grants to societies, etc.</li> <li>○ Expenses for operating an organization in and outside the University</li> <li>○ Participation fees of societies and the like, relevant transportation expenses and accommodation fees for a person other than the researcher (if there are special circumstances, prior internal approval must be obtained.)</li> <li>○ Non-life insurance for overseas and international official travels</li> </ul>	
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## 4-2-2. Payment to be Reimbursed Later

When purchasing goods, etc., the Facilities Management Office via the Faculty Office, etc. shall place an order in accordance with Soka University Purchase Regulations. However, if there are unavoidable reasons in the course of conducting research, books, consumables, etc. may be purchased by making payment to be reimbursed later.



## [Specific Procedures]

- If you make payment for books, consumables, etc. and request for reimbursement later due to unavoidable reasons, submit the Reimbursement Request Form along with receipts and other evidence documents to the Faculty Office, etc.
- In the Reimbursement Request Form, describe unavoidable reasons under which the goods were purchased by making payment to be reimbursed later.
- If you make payment to be reimbursed later, you should claim for expenses without delay (within one month from the payment).
- Submit purchased books, consumables, etc. to the Faculty Office along with the Reimbursement Request Form and receipts and other evidence documents for reimbursement request and acceptance inspection.
- \* Purchasing an article valued at 50,000 yen or more (tax included) by making payment to be reimbursed later is not allowed in principle (because prior approval is required in relation to asset management, etc.).
- \* It is not allowed to purchase articles easily convertible to cash (PCs, tablets such as iPad, video cameras, digital cameras, TVs, monitors, projectors, audio recording equipment, video recording equipment and equivalents) by making payment to be reimbursed later, even if they are priced under 50,000 yen (tax included), in principle. If there is any ambiguity, make an inquiry to each Faculty Office, etc. prior to purchasing.
- \* As for paying for translation fees, proofreading fees, convention participation fees, data access charges and any matter other than purchasing goods, even if priced at 50,000 yen or more (tax included), it is possible to request for the payment to be reimbursed later. However, if you plan to make payment of more than 50,000 yen (tax included) to be reimbursed later for any matter other than purchasing goods, you must consult with the Faculty Office, etc. prior to the payment.
- \* When purchasing books by making payment to be reimbursed later, it is acceptable to purchase several books totaling at 50,000 yen or more (tax included), if each of the books is priced at less than 50,000 yen (tax included).
- \* When purchasing by making payment to be reimbursed later at an electrical appliance store, make purchase without earning any point, (since points earned through a purchase with research funds shall belong to the University, and may not be used for personal use).
- \* It is not acceptable to get reimbursed for any article purchased with gift certificates, etc.

## [Examples of Reasons for Payment to Be Reimbursed Later]

- If individuals are only allowed to make payment.
- If it may be paid by cash or credit card only.
- If books, consumables, etc. become unexpectedly needed during official travel, etc.
- If it is necessary to make cash payment for honoraria or travel expenses to guest researchers, etc. from abroad.
- \* It is necessary to make request for honoraria, etc., so consult with the Faculty Office, etc. before the payment.

## [Points to Be Noted]

- Please note that, in case of payment to be reimbursed later, responsibilities in accounting, including accountability for the fairness of selecting a supplier and the appropriateness of an order amount, and liability to indemnify shall belong to a person who makes payment to be reimbursed later (the researcher).

## 4-2-3. Acceptance Inspection

The University shall have the Faculty Office conduct acceptance inspection of all goods purchased using research funds to ensure the appropriate operation and management of research funds in accordance with Soka University Purchase Regulations. The acceptance inspection rules are as follows:

### [Specific Procedures]

- Goods purchased through the purchasing system shall be inspected for acceptance upon delivery to the Faculty Office.
- When a researcher purchases by him/herself by making payment to be reimbursed later or other means, the researcher must submit purchased books, consumables, etc. to the Faculty Office, along with the Reimbursement Request Form and receipts, etc. to receive acceptance inspection.

■ Articles purchased by downloading, etc.

[Purchased Articles and Transactions Subject to Acceptance Inspection]

Software, digital books, licenses, etc. downloaded from the internet

[Method of Acceptance Inspection]

Actual articles purchased shall be inspected in principle. As for digital books, etc. purchased with devices, such as iPad, bring hard copies of the purchase screen, etc. and a communication device to the Faculty Office, etc. However, if it is difficult to bring an actual article purchased, which is installed on a desktop PC, for example, acceptance inspection shall be performed instead based on hard copies of the purchase screen containing the name and price of the article and the top page of purchased software, etc.

=Note=

Purchasing of software, digital books, licenses, etc. for use after retirement is prohibited.

■ Acceptance Inspection of Special Tasks

Special tasks:

In the case of tangible deliverables, special tasks (such as developing or creating databases, programs and digital contents also maintenance or inspection of devices) will be taken Acceptance Inspection by the documents that verify the execution such as the performance of deliverables or a completion report. In case of intangible deliverables, “inspection staff” will be present and conduct a site inspection.

(1) Commission Fees

In case of tangible deliverables, please submit deliverables and an evidential document.

In case of intangible deliverables, please submit a repairment report or a work completion document etc. vendors have prepared and an evidential document.

(2) Rental Fees

Please submit the contract with evidential documents related.

(3) Repairment, Maintenance or Inspection of Devices

Please submit documents that vendors have prepared such as a repairment report or a work completion document with an evidential document.

## 4-2-4. Management of Articles

Articles purchased with research funds shall be managed in accordance with Soka University Regulations on Management of Fixed Assets and Articles, Soka University Regulations on Management of University Libraries, Soka University Regulations on Management of Laboratory Library, Soka University Internal Rules for Research Equipment and Equipment Rental and other relevant regulations.

[Principles of Article Management]

- The ownership of articles, consumables, books, etc. purchased with research funds shall belong to the University.
- Purchased goods shall be stored by a laboratory during a researcher's tenure and returned to the University after his/her retirement.
- Ensure that articles are always maintained in good conditions.

[Points to Be Noted]

- Purchased articles, etc. shall be stored and used at a laboratory, etc. of the University in principle.
- If a purchased article or the like is stored and used outside the University, submit a statement of reasons (made to dean, etc./clerical supervisor, etc.) specifying the relevant article, period and reasons to each Faculty Office, etc.
- A user of a purchased article shall be held responsible if the article is damaged and in need of repair.
- The user or the person in charge of management may be required to pay the amount equivalent to the damaged article, if the damage is caused due to his/her willful misconduct or gross negligence.
- Bring any article that you no longer use to the Faculty Office, etc without delay.
- Please note that, if you convert any article purchased with research funds into cash, transfer it to someone or disposed of it without authorization, you may be deemed to have misused research funds.

## 4-3. Research Travel

If a faculty member goes on domestic and international official travel for such purposes as presentation of research results, data collection, research meetings, hearing and field work, etc. necessary for research activities, travel expenses shall be provided in accordance with Soka University Regulations on Travel Expenses for Faculty Members and Soka University Regulations on Official Travel for Faculty Members. To receive travel expenses, a researcher must follow procedures both before and after travel.

In case of international official travel, check the latest overseas risk-related information with sources, such as the Overseas Safety HP website of the Ministry of Foreign Affairs of Japan when necessary. Avoid going on travel to any country or region for which an evacuation advisory, travel postponement advisory or the like is issued. In case of other risk-related information in place, take appropriate actions including refraining from traveling.

### <1> Procedures for Research Travel

The following procedures shall be taken for research travel.

#### 1. Request for Official Travel

Research travel, whether domestic or international, needs to be approved. As for research travel, use the online travel approval request (research travel) based on the workflow system to submit the Travel Approval Request Form to the Faculty Office, etc. for approval and obtain the approval of the dean/the President. As for other types of official travel, use the current Travel Approval Request Form in an excel format.

- Travel Approval Request Form needs to be submitted by:
  - Two weeks before the date of departure for domestic travel
  - One month before the date of departure for overseas travel
    - \* This does not apply to urgent and unavoidable circumstances.
- Materials to be attached to Travel Approval Request Form
  - Travel for participating academic societies
    - ⇒ Attach copies of an invitation, schedule, program, etc. of a society.
  - Travel for research and survey, and data collection
    - ⇒ Attach a research plan, purpose, schedule, etc.
- Materials to be attached in case of being accompanied by students on research travel
  - If you are accompanied by students on research travel, attach the Application Form for Accompanying Students.
    - \* Upon confirmation of the President, the dean, etc. and the clerical supervisor, etc., suspension or improvement may be requested if necessary.
    - \* If a faculty member attends a presentation given by a graduate student or the like, it is not necessary to submit the above application form.

#### <Points to Be Noted>

- If classes are cancelled due to the travel, submit the Class Cancellation Notification as well.
- Submit the Travel Approval Request Form for privately-funded travel as well.
- If you are traveling to the same place continuously, please submit "Travel Approval Request form" for each case.
- Expenses cannot be combined from multiple budgets. For example, when traveling on a business trip using research funds for individual researchers, it is not possible to pay only the accommodation expenses from the Grants-in-Aid for Scientific Research. However, as an example, if a single business trip includes a period in which work is performed using research funds for individual researchers and a period in which work is performed using Grants-in-Aid for Scientific Research, you will need to submit separate travel application forms for each period. If approved, you will be able to travel using the two research funds.

#### 2. Travel Period

A travel period must be within a reasonable period of time necessary for achieving the purpose of

official travel stated in the Travel Approval Request Form.  
A period for private purposes may not be included without justifiable reason.

### **3. Change, Suspension, Cancellation of Travel Plan**

If a researcher planning on official travel changes or suspends the plan due to unavoidable events such as acts of God, suspension of transportation, disease, injury and special reasons, the researcher must obtain the approval of the President via the dean or the like by using the Notification of Change Form.

However, only in case of urgent and unavoidable circumstances, report on the change or suspension of the travel plan to the President, the dean and the like immediately after returning. Always report to the Faculty Office in case of cancellation.

You can change and cancel an official travel plan on the online travel approval request system.

### **4. Report on Official Travel**

The submission of the Travel Report is not necessary for research travel funded by internal research funds, but necessary for research travel funded by KAKENHI. However, even in case of research travel using internal research funds, it is necessary to report on travel in writing or orally at the request of the President, the dean and the like.

### **5. Expense Claim**

Travel expenses will be reimbursed subsequently in principle.

Claim for travel expenses through the Faculty Office by attaching necessary materials, such as an itinerary and receipts (original) within one week after returning.

Researchers may claim for travel expenses in advance at an estimated amount in case of a long time, official travel incurring large expenses or the like.

- Regarding accommodation fees, receipts or invoices (made to Soka University) issued by accommodations, travel agencies, etc. are required.

If there is no receipt or the like for reasons, such as payment with credit card, submit a credit card statement or the like.

- Regarding fares of ships, aircraft, highway buses and taxis, highway (including general toll roads) tolls, rental car charges (including gasoline charges), parking charges and accommodation fees, receipts (made to Soka University) or documents specifying a fare, such as tickets are required.

When using airplanes, make sure to submit a boarding pass stub or something that shows the fact of boarding.

- The start and end points of official travel shall be the University or a researcher's home. If a part of a travel route overlaps his/her commuting route, transportation expenses shall not be paid for the overlapping part.

#### **○ Documents to be submitted**

Category	Documents	Description
Prior to travel	(i) Travel Approval Request Form	<ul style="list-style-type: none"> <li>• Domestic travel: To be submitted by two weeks before the date of departure</li> <li>• Overseas travel: To be submitted by one month before the date of departure</li> </ul>
	(ii) Itinerary*	
After travel	(i) Itinerary (that shows changes)*	
	(ii) Evidence documents such as receipts and invoices	<ul style="list-style-type: none"> <li>• In case of actual accommodation fees (excluding meal fees).</li> <li>• If ships, aircraft, highway buses and taxis are used.</li> <li>• If airplanes are used, attach a boarding pass stub or something that shows the fact of boarding.</li> </ul>
	Travel Report (Record)	Submit for official travel financed by KAKENHI

\*Itinerary

An itinerary is a necessary document for travel expense claim (payment) and post-travel verification of the facts, but it may be omitted for a domestic travel if it is possible to clarify the itinerary just by filling

out the Travel Approval Request Form. However, for overseas travel or domestic travel with complicated itinerary, be sure to submit an itinerary. Even if it is a case where the submission of an itinerary may be omitted, clerical staff may ask you to prepare it where necessary.

## <2> Amount of Travel Expenses Provided

The University shall pay for travel expenses for domestic and overseas travels in accordance with Soka University Regulations on Travel Expenses for Faculty Members and based on the following standards:

### ■ Domestic Travel Expenses to Be Provided (The following distances are path distances between the point of origin and the destination)

Passenger, passage, air railway, car fares	Daily allowance				Accommodation fees
	Types	100 km or more each way or with lodging	50 km or more and less than 100 km each way	50 km each way	
Actual amount paid	per day (in case of half day)	4,500 yen (2,250 yen)	2,250 yen	-	12,000 yen

#### <Remarks>

- Accommodation fees shall be paid based on actual amount paid up to the amount in the table above.
- In case of lodging for two or more consecutive nights, accommodation fees shall be paid based on the amount paid up to the amount in the table above multiplied by the number of nights.
- If you are unable to stay within the maximum amount of the accommodation fee in the area where you plan to stay, or if you exceed the stipulated accommodation fee due to unavoidable reasons such as the conference you are attending has a specific place to stay, please submit a business trip application form with a "Letter of Reason for Exceeding the Accommodation Fee Limit" attached. If the business trip application with this statement of reasons attached is approved, the actual cost of lodging in excess of the lodging expense limit reimbursed.
- If it is difficult to find available means of transportation to arrive on time at the destination or to return home on time, lodging at the previous or following night of travel may be allowed subject to the approval.
- When a sleeper train, overnight train, overnight bus or the like is used, or when staying at a free accommodation, accommodation fees shall not be provided.
- If the departure time is in the afternoon and if the arrival time is in the morning, one-half of the daily allowance shall be provided.
- For a day dedicated to traveling, one-half of the daily allowance shall be provided.
- For a one-day trip between places both in Tokyo, the daily allowance shall not be provided.
- For business trips (fieldwork, etc.) from Tokyo to multiple locations in neighboring prefectures, if one-half of the total distance traveled by transportation, etc. is between 50 km and 100 km, a daily allowance of 2,250 yen will be paid.
- It is possible to provide an amount exceeding the amount provided subject to the President's approval.

### ■ Overseas Travel Expenses to Be Provided

Passenger, passage, air, train, car fares	Types	A-Group Destination and designated cities	B-Group Destination
Actual amount paid	Daily allowance	6,500 yen	5,500 yen
	Accommodation fees	20,000 yen	17,000 yen

#### <Remarks>

- Accommodation fees shall be paid based on actual amount paid up to the amount in the table above.
- In case of lodging for two or more consecutive nights, accommodation fees shall be paid based on the amount paid up to the amount in the table above multiplied by the number of nights.
- When staying overnight on plane or in a car, or when staying at a free accommodation, accommodation fees shall not be provided.
- If actual accommodation rates exceed the accommodation fees in the table above due to unavoidable circumstances, such as if an accommodation is fixed in advance and if the person accompanies an



officer, the actual amount may be provided (on the condition of the submission of a statement of reasons, etc. prepared by a faculty member).

- For days dedicated to traveling in Japan before and after overseas travel, daily allowances shall be provided according to the standards for domestic travel expenses.

When staying in Japan, accommodation fees shall be provided according to the standards for domestic travel expenses.

- It is possible to provide an amount exceeding the amount provided subject to the President's approval.

<What are designated cities, A-Group Destination and B-Group Destination?>

■ Designated cities

Singapore, Moscow, Abu Dhabi, Jeddah, Kuwait, regions of Riyadh and Abidjan, Beijing, Shanghai and Hong Kong

■ A-Group Destination

USA, Canada, Russia, Europe (Iceland, Ireland, Albania, Andorra, Italy, UK, Estonia, Austria, the Netherlands, Cyprus, Greece, Croatia, San Marino, Switzerland, Sweden, Spain, Slovakia, Slovenia, Serbia, Czech Republic, Denmark, Germany, Norway, Vatican, Hungary, Finland, France, Bulgaria, Belgium, Poland, Bosnia and Herzegovina, Portugal, Macedonia, Malta, Monaco, Montenegro, Latvia, Lichtenstein, Lithuania, Romania, Luxembourg)

■ B-Group Destination

Other countries and regions than above

[Means of Transportation]

As a means of transportation, researchers must use public transportations and the like, and take an efficient route in terms of cost and hours to be taken from place of departure to destination.

- Use economy class for airfares, and use standard class for other means of transportation in principle.
- However, it is acceptable to fly business class and premium economy class in the following case:
  - ◎ If airfares of business class and premium economy class are no more than the Economy Class Airfares and it takes more than eight hours to fly from place of departure to the destination (excluding a layover if taking a connecting flight).
- \* A researcher must submit a document proving that airfares are no more than the Economy Class Airfares at the time of either travel request or reimbursement request.
- \* Examples of the Economy Class Airfare standards
  - The Economy Class Airfare above shall be any of the following airfares of the same airline on the same day as you fly.
    - Japan Airlines: Economy Standard
    - All Nippon Airways: Economy Basic
    - United Airlines: Economy class lowest price
    - Air France: Economy Standard
    - Emirates: Economy Flex
  - \* The following airfares shall not constitute the standards of the above Economy Class Airfare.
    - Japan Airlines: Economy Flex
    - All Nippon Airways: Economy Flex
    - United Airlines: Economy Flexible
    - Air France: Economy Flex
    - Emirates: Economy Flex Plus
- The use of a taxi is only acceptable if it is difficult to find other means of transportation, if it is cheaper to use a taxi, or for other unavoidable reasons. When it is clear that a taxi will be used beforehand, its route must be specified in the Travel Approval Request Form.
- A privately-owned car may be used under unavoidable circumstances and only when the use of the car is notified to the University.

[Points to Be Noted Regarding Travel Expenses]

- If a researcher does his/her personal business during an official travel, travel expenses for the return trip must be paid by him/herself.
- Accident insurance for domestic and overseas research travel must be paid by a researcher.
- For domestic and overseas travels combined, the maximum amount that may be used as travel expenses is 250,000 yen (60,000 yen for an assistant professor) per year. (A portion exceeding that

amount must be paid by a researcher.) If the President deems it necessary, up to 60% of the amount of research funds provided may be added to this amount. (For example, if the amount of your research funds calculated in an incremental fashion is 500,000 yen, you may request to the President for approval of using 60% of the amount, or 300,000 yen, as research travel expenses. In other words, it is possible to add 50,000 yen to the regular maximum amount of 250,000 yen.

- If you go on official travel from late March to early April, which involves two fiscal years, travel expenses for a period up to March 31 shall be covered by the current fiscal year budget and a period from April 1 shall be covered by the following year budget. Be sure to consult with the Faculty Office before submitting the Travel Approval Request Form.
- The use of rental cars or other vehicles is allowed if a faculty member of the University sits behind the wheel.
- In case of lodging before and/or after the travel period, you need to specify necessary and reasonable reasons that the lodging is unavoidable in the Travel Approval Request Form.
- If the amount of fees related to official travel exceeding unused amount of expenses for the travel, a researcher may add his/her own expense.
- When using a package tour, the tour may be paid as transportation expenses and accommodation fees based on actual amount paid. However, the price of the package tour must be no more than the sum of the regular amount of transportation expenses and the maximum amount of accommodation fees.
- The price of a package tour used for overseas official travel must be no more than the sum of a corresponding round-trip Economy Class Airfare and the maximum amount of accommodation fees.
- In case of being accompanied by students on research travel, be sure to consult with the Faculty Office beforehand.

### <3> Other Research-related Travels

#### (1) Travel upon Invitation

- When you are invited to go on travel to academic institutions such as other universities and public institutions, follow the same procedures as research travels by submitting the Travel Approval Request Form with an invitation sent by the host (copy is acceptable) attached.
- Travel expenses shall not be provided in principle. However, if the amount of travel expenses provided by the host is less than the amount of travel expenses provided by the University after approval by the president, the University shall pay for the difference.

#### (2) Privately-funded Travel

- Even if you pay for business travel by yourself, submit the Travel Approval Request Form to the Faculty Office, etc. as is the case with research travel and instructing travel. Both domestic and international travel needs approval.
- If classes are cancelled due to the travel, submit the Class Cancellation Notification as well.

### <4> Overseas Travel Accident Insurance and Overseas Risk Management Service

#### (1) Contract of overseas travel accident insurance

- When going on overseas research travel, take out overseas travel accident insurance with appropriate coverage to handle unexpected situations. Overseas travel accident insurance must be paid by a researcher (because it cannot be covered by research funds). To respond to emergency situations smoothly, it is recommended taking out an insurance plan with the coverage of 30 million yen or more for the compensation for medical treatment and rescue costs.

#### (2) Overseas risk management service

- Since FY2021, to prepare for overseas contingencies, such as emergencies, the University has signed a comprehensive agreement with Japan IR&C Corporation, a firm specializing in risk management, to ensure that we have access to risk management service during overseas research travel. This allows you to be entitled to use the Overseas Risk Management Service (Japan IR&C *Anshin* Support) offered by Japan IR&C Corporation on the University's account. The Overseas Risk Management Service provides rescue operations in emergencies. This service aims to respond to emergencies promptly and properly by receiving support and advice from risk management professionals and thus minimize overseas risks with regard to 24/7 emergency contact and consultation service, safety confirmation in collaboration with related organizations such as

hospitals, insurance companies, relatives, police, and diplomatic establishments abroad, human support, press handling and so on. See the file in “02\_出張関係(Travel related Forms)” in Application-related Folder for more explanation and participation method.

## 4-4. Remunerations and Honoraria etc.

When hiring individuals as a lecturer, translator, proofreader or interpreter, the payment of compensations shall be made in accordance with Soka University Regulations on Payment of Honoraria and Other Rewards and based on the following standards: Submit an applicable approval request form. Such honoraria, etc. shall be paid after tax deducted at source. Please note that honoraria, etc. in any form may not be paid to a full-time faculty member of the University.

### <1> Payment Standards of Honoraria, etc.

Types	Amount	Necessary documents
1) Lecture fees of external lecturers		
General subject, special lecture (by general public)	16,000 yen (tax included)	Request Form for Lecture Fees
Lecture in class (by notable public figures)	32,000 yen (tax included)	
Lecture outside class	50,000 yen (tax excluded)	
2) Translation, proofreading fees (per A4 manuscript, equivalent to 1,200 words in Japanese or 300 words in English)		
Translation (Japanese to foreign language)	5,000 yen (tax included)	Request Form for Translation/Proofreading Fees
Translation (Foreign language to Japanese)	3,000 yen (tax included)	
Foreign language proofreading	3,000 yen (tax included)	
3) Interpretation fees		
Lecture interpretation (including manuscript translation)	20,000 yen	Request Form for Interpretation Fees
Simultaneous interpretation	20,000 yen per day	
4) Personnel cost, remuneration		
Guest teaching staff	250,000 yen per month 8,000 yen per day	Request Form for Honoraria
5) Other honoraria and rewards	10,000 yen (tax excluded)	Request Form for Honoraria

- \* In terms of a unit cost of honoraria necessary for conducting research in a foreign country, fully investigate prices, commodity prices and payment practices in the country so as not to make excessive payment.
- \* If the amount exceeding the above payment standards is paid due to unavoidable reasons, it is necessary to obtain the prior approval of the executive director for corporate administration, the executive director for university administration or the chairperson of the board of trustees (by submitting a statement of reasons, etc. prepared by a faculty member).
- \* If paying as a salary, approval is required, so please contact the faculty office in advance.
- \* Please attach the deliverables or documents that verify the execution with the required documents (application form).

### <2> Tax Deducted at Source

Where these remunerations and honoraria to be paid to a resident in Japan fall under those stipulated in Article 204 of the Income tax law of Japan, the payment shall be made after deducting at source income tax and special income tax for reconstruction at a fixed tax rate. This also applies to where the payment is made to nonresidents or foreign corporations and it falls under domestic source income subject to tax withholding stipulated in Article 161 of the Income tax law of Japan.

#### ■ Withholding tax rates

Payment recipient <in Japan>	
Individual person	10.21%

Organization, supplier (Japanese corporation)	0%
Payment recipient <overseas>	
Individual person (non-resident)	20.42%
Organization, supplier (foreign corporation)	0%

\* The withholding tax rate is 0% if compensations, etc. is made to a foreign recipient for their overseas work.

### <3> Tax Treaty

A 20.42% withholding tax is normally levied on salary, remuneration, etc. paid to nonresidents or foreign corporations. However, if a country to which nonresidents or foreign corporations pays taxes has concluded a tax treaty with Japan, the withholding tax may be exempt or reduced subject to the submission of necessary documents in accordance with the tax treaty. Still, this may be applicable to a limited extent depending on place of residence, length of stay, purpose of stay or other relevant matters of the applicant. For more information, make inquiries to the Faculty Office.

#### ■ Countries signing tax treaty with Japan

For countries signing tax treaty with Japan, see the website of the National Tax Agency of Japan or the Ministry of Finance Japan.

## 4-5. Hiring of Part-timers

One must take due care in hiring part-timers using research funds. It is necessary to perform work management appropriately in compliance with the Labor Standards Act of Japan, Soka University Regulations on Employment and Wages of Part-timers and other relevant internal regulations. Be sure to hire part-timers by clarifying their job description so as not to make them confused with the assistance to other research projects, classes, seminars, etc.

### <1> Procedures

When hiring part-timers, it is necessary to submit prescribed documents to HR Department by one week prior to the work start date in principle in accordance with the regulations. When deciding to hire a part-timer, be sure to follow the procedures in advance by fully taking the work start date into account.

After it is determined to hire a part-timer, inform to the part-timer that he or she needs register its personal information and My Number on [Part-timer My Page (アルバイト マイページ)] and after registration is completed, he or she also needs to submit employment application on [Part-timer Operation Management System (アルバイト業務管理システム)] (there in after アルバイトシステム). In addition, the employment application is not approved by using research funds for individual researchers in March in principle.

The registration of part-time workers' clock-in and clock-out times is done via the [Part-timer My Page (アルバイト マイページ)]. Hence, to approve the work records, please use the [Part-timer Systems (アルバイトシステム)] to confirm the content for each work day and perform a daily approval. Based on the work records approved by the end of the month, the part-timers process the monthly closing in [Part-timer System (アルバイトシステム)] at the beginning of the following month.

Both the [Part-timer My Page (アルバイト マイページ)] (for part-time workers) and the [Part-timer System (アルバイトシステム)] (for management) are only able to access from the campus network.

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<Notes concerning hiring part-timers>

- Work hours shall be 8 hours or less between 9 a.m. and 9 p.m.
- If work hours are between 6 hours and 8 hours, a recess for 45 minutes or more must be granted, and if work hours are 8 hours or more, a recess for 60 minutes or more must be granted.
- In case of utilizing student part-workers, it is required that they work within an administrative office, classroom, or research laboratory, under the supervision of a faculty member or staff. Therefore, it is not acceptable that student part-time workers work in any place without their supervisors.

<Notes concerning “Kinmu kiroku hyo” = Part-Time Employee Monthly Time Sheet>

- Be sure not to place the confirmation stamp at a time for all entries of a month. Place the stamp each day upon confirmation of actual work attendance.
- To correct an entry, a part-timer shall draw a double line on the entry and place his/her correction seal thereon. Do not use a correction tape.

<2> Amount of hourly wage (as of October 1, 2025)

Types	Hourly wage
Undergraduate student, Soka Women’s College student	1,230yen
Graduate student, Distance Learning Course student, person outside the university	1,260yen
Person with special skills	1,300 yen
Overseas student studying in Japan for a short period (nonresident)	1,630yen
Research assistant	2,500 yen

## 4-6. Miscellaneous Expenses

### <1> Computer-related

- (1) If you lease computer devices installed in a laboratory via the University, lease expenses shall be subtracted from your research funds.
- (2) If computer software or database is purchased or subscribed, submit an invoice, a receipt, a service agreement, etc. (copies are acceptable).

### <2> Telephone charges

If you use a telephone installed in a laboratory for research purpose, telephone charges shall be subtracted from your research funds. However, if the telephone is used for personal business, make payment for telephone charges to the Faculty Office. Telephone charges used in March shall be subtracted from your research funds for the following fiscal year.

## Chapter 5 Rules for Execution of KAKENHI

### 5-1. Application Guidelines

At the University, full-time faculty members engaged in educational research activities shall be eligible to apply for the KAKENHI funding. However, a researcher who complies with and meets the requirements set out by MEXT and independent administrative agencies shall also be eligible. The University has set out the requirements as follows:

Title at the University	Principal Investigator	Co-Investigator(s)	Research Collaborators	Points to Be Noted
[Full-time] Professor, associate	○	○	○	



professor, full-time lecturer, assistant professor, distinguished professor, specially appointed professor, assistant				
[Part-time] Part-time lecturer	○ Note 1	○ Note 1	○	Confirm qualifications for eligibility
[Part-time] Visiting professor, visiting associate professor, visiting lecturer, visiting researcher	○ Note 1	○ Note 1	○	
Research assistant, research support assistant, post-doctoral research fellow (PD)	○	○	○	A researcher hired with public research funds is eligible to apply (provided that it is approved by the Principal Investigator of the researcher's employer and efforts are being appropriately managed).
Research assistant (RA), research fellow, joint researcher	×	×	○	
Professor emeritus, guest teaching staff, guest researcher, exchange teaching staff	×	×	○	Confirm qualifications for eligibility
JSPS Fellows (SP, PD, RPD)	○	○	○	In accordance with relevant rules including "Application Procedures for Grants-in-Aid for Scientific Research" of MEXT and JSPS
JSPS Fellows (DC1, DC2)	×	○	○	
[Full-time] Administrative staff, technical staff	×	×	○	Confirm qualifications for eligibility

○ : Eligible × : Not eligible

(Grants from other government agencies and independent administrative agencies, etc. shall be subject to the above table.)

Note 1: A part-time faculty member of the University who meets all of the following requirements from (i) to (viii) shall be eligible to apply for KAKENHI.

<Requirements>

- (i) The researcher's social status is not a student.
- (ii) The researcher's eligibility to receive a grant is not suspended for committing misuse, fraudulent grant acquisition, or misconduct in the course of application and implementation of competitive funding.

- (iii) The researcher has actually conducted research activities which have been recognized over the past three years.
- (iv) Regarding research environment, the researcher is allowed to share, etc. a laboratory of a full time faculty member of the University in advance.
- (v) Regarding management of research funds and purchased articles, etc. the approval is granted from the researcher's faculty, etc in advance.
- (vi) The researcher will make application as a Principal Investigator or Co-Investigator(s) with the help of the University for clerical work.
- (vii) If granted, the researcher will conduct his/her research activities as activities of the University and publish the results as a member of the University.
- (viii) If granted, the researcher shall pledge that he/she will comply with rules and regulations set by the University.

Note 2: Excluding Grant-in-Aid for JSPS Fellows and Fostering Joint International Research.

As for research activities of the researcher are employed by competitive research funding, they will be dealt with based on Soka University Guidelines for Spontaneous Research Activities of Researchers Who Are Employed by Competitive Research Grant  
For more details, you will separately be explained by the personnel in charge at the time of employment.

## 5-2. The University's Requirements for Application for Grants-in-Aid for Scientific Research "Fund for the Promotion of Joint International Research (Fostering Joint International Research)"

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A grantee of JSPS-sponsored Grants-in-Aid for Scientific Research "Fund for the Promotion of Joint International Research (Fostering Joint International Research)" is supposed to stay at a foreign research institute for a period of six to twelve months and become unable to conduct educational research activities, etc. at the University in the meantime. Accordingly, the University has internal requirements for the application in place for an applicant of the University as follows:

### [Application Requirements]

- (1) A researcher meets the requirements set by JSPS.
  - (2) For a full-time faculty member, his/her tenure at the University is as least three years at the time of application. The tenure may include a period of serving as a fixed-term faculty member.
  - (3) The dean's recommendation has been obtained.
- \* Be sure to make prior adjustments not to interfere with educational and research activities at the University.
- \* If your transfer to another institution has been determined at the time of application, consult with the institution beforehand. If the institution you will transfer to has yet to be determined, consult with the institution as soon as it is determined.

### [Application Schedule]

The application requirements apply to the July 2021 call for proposals and thereafter.

## 5-3. Basic Rules of KAKENHI

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KAKENHI is provided to a Principal Investigator of the research project the funding is granted, and in order to allow researchers to concentrate on their research, the management thereof shall be carried out responsibly by research institutions.

### ■ Rules Established by MEXT and JSPS

- Spending Rules for researchers (Supplementary Conditions and Funding Conditions)  
⇒ Research institutions carry out the management of the grants-in aid (grants) according to administrative work and other procedures to be taken by each research institution.

## ■ Rules Established by Soka University

- Institution's spending rules (administrative work and other procedures to be taken by each research institution)

⇒ Manage grants-in aid and grants (direct expenses) on behalf of researchers.

Any matter not set forth in these regulations shall be handled properly based on “Guidelines for Management and Audit of Public Research Funds at Research Institutions” and in accordance with regulations and rules established by the University.

## ○ Hierarchical structure of applicable rules (excerpt from the material for JSPS explanatory session)

<p>[Rules Set by Research Institution]</p> <ul style="list-style-type: none"> <li>• XYZ University regulations on handling of research funds, etc.</li> </ul>	⇒	<ul style="list-style-type: none"> <li>• Evidence documents to be collected</li> <li>• Usage of credit cards</li> <li>• Method of payment to be reimbursed later before receiving KAKENHI</li> <li>• Conditions for use of a rental car</li> <li>• Points to Be Noted When Spending Grants Abroad, etc.</li> </ul>
<p>[Institutional Rules (i)]</p> <ul style="list-style-type: none"> <li>• Spending rules for research institutions</li> </ul>	⇒	<ul style="list-style-type: none"> <li>• Confirmation of the eligibility for application</li> <li>• Manage and execute direct expenses, ensure appropriate spending</li> <li>• Management and execution of indirect expenses, ensuring of appropriate spending</li> <li>• Organization and retention of relevant documents</li> <li>• Submission of documents for change, etc. in the funded project provided by researchers to JSPS</li> <li>• Compilation of a Report on the Results and a Report on the Research Achievements and submission thereof to JSPS</li> </ul>
<p>[Institutional Rules (ii)]</p> <ul style="list-style-type: none"> <li>• Spending rules for researchers</li> </ul>	⇒	<ul style="list-style-type: none"> <li>• Spending of direct expenses according to their research institution</li> <li>• Transfer of indirect expenses to their research institution</li> <li>• Submission of documents for change, etc. in the funded project to JSPS via their research institution</li> <li>• Submission of a Report on the results to JSPS via their research institution</li> <li>• Submission of a report on the research achievements to JSPS via their research institution</li> </ul>
<p>[Statutory Regulations]</p> <ul style="list-style-type: none"> <li>• Public Finance Act</li> <li>• The Law for the Normalization of Subsidies and other relevant laws</li> </ul>	⇒	<ul style="list-style-type: none"> <li>• Duty of care of a good manager, prohibition on the use of information for other purposes, etc.</li> <li>• Principle of one fiscal year budget (grants-in aid)</li> <li>• Approved carried-over expenses (grants-in aid)</li> </ul>

### <Points to be Noted>

- Unless otherwise required by a funding agency, the spending rules on KAKENHI and other grants shall be subject to the University's the spending rules for research funds for individual researchers.
- Please note that there may be matters acceptable under the rules of the national government, etc. but unacceptable under the University's rules.

## 5-4. Principle of Execution of KAKENHI

Unless otherwise required by a funding agency, the execution rules and the scope of purpose of use of KAKENHI shall be subject to the University's the spending rules for research funds for individual researchers. Regarding the purpose of use of articles, etc. to be purchased, prepare yourself to explain why they are necessary for conducting the research.

In addition, the act of using research funds after obtaining prior approval, such as purchasing goods and applying for business trips, is handled in accordance with the handling of individual research funds, but for acts without prior approval documents, please submit the "Application for Use of KAKENHI" in advance. Submit and get the verdict of action. If you have any questions, please contact the administrative office of each faculty.

## 5-5. Purchase of Goods, etc.

### <1> Specific Procedures

The ordering method shall be subject to the execution rules on internal research funds. As for KAKENHI, however, the following evidence documents are required:

#### ■ Documents necessary to be submitted (goods, etc./in case of ordering not through the Facilities Management Office)

Category	Purchased price (tax included)	Purchase Request Form	Invoice	Quotation	Delivery Statement	Receipt	Contract	Notification of donation
Consumables *1	Less than 50,000 yen	○	○	△	○ *2	△ *3	×	×
Articles	50,000 yen or more and less than less than 200,000 yen	○	○	○	○ *2	△ *3	×	○
Equipment	200,000 yen or more and less than less than 1,000,000 yen	○ *5	○	○	○	○	×	○
	1,000,000 yen or more and less than 3,000,000 yen	○ *4	○	○ Three suppliers or more	○	○	×	○
	3,000,000 yen or more	○ *4	○	○ Three suppliers or more	○	○	○	○

(○...required △...may be omitted ×...not required)

<<Notes>>

- \*1 Consumables include laboratory consumables (useful life of less than one year and acquisition cost of less than 200,000 yen).
- \*2 A delivery statement may be omitted if purchased goods (and name of the product, number of units, unit price, total price) are identifiable with a receipt.
- \*3 A receipt may be omitted if the payment is made by bank transfer.
- \*4 If purchasing goods priced at 500,000 yen or more, it is also necessary to prepare an approval request document (along with a statement of reasons prepared by a faculty member) and obtain approval.

#### ■ Necessary documents (books/excluding payment to be reimbursed later)

Category	Intended useful life	Purchase Request Form	Invoice	Quotation	Delivery Statement	Receipt	Contract	Notification of donation
Consumables *1	Intended for short term	△ *2	○ *3	△	○ *3	×	×	×
Publications	Evidently intended for long term	○ *4	○ *3	○ Two suppliers or more	○ *3	×	×	○

(○ ...required △...may be omitted ×...not required)

## &lt;&lt;Notes&gt;&gt;

- \*1 The ”科研費図書 (KAKENHI book)” stamp shall be put on books classified as consumables.
- \*2 If a faculty member directly places an order, the Purchase Request Form may be omitted.
- \*3 A delivery statement may be omitted if purchased books (and title of the book, number of copies, unit price, total price) are identifiable with a receipt; provided that all the information about a book (such as title of the book) is filled in.
- \*4 If purchasing goods priced at 500,000 yen or more, it is also necessary to submit an approval request document (along with a statement of reasons prepared by a faculty member) and obtain approval.

## &lt;2&gt; Receipt, Delivery Statement, Invoice, etc.

- Ensure that a delivery statement, invoice, receipt and the like are made to the “Principal Investigator name, Co-Investigator(s)/Research Collaborators names” or “Soka University.”
- Ensure that a delivery statement, invoice, receipt and any other evidence document each carries the date such document is issued. Also ensure consistency in dates between those documents.
- If, on a receipt or a delivery statement, it is impossible to identify a product name (book title), specifications and model number (author and publisher), number of units (number of copies), unit price, total price, etc. of each article, attach a detailed statement as well.
- Purchased consumables, articles, equipment and books shall be subject to acceptance inspection at the Faculty Office.
- If shipping cost incurs for goods to be purchased, the shipping cost must not be included in the cost of goods, but recognized as Miscellaneous Expenses.

**5-5-1. Scope of Use**

The scope of use shall be subject to the use of internal research funds on 4-2-1. Refer to the Common Inter-ministry List of Costs and Expenses Categories published by the Cabinet Office for expense categories.

◎Common Inter-ministry List of Costs and Expenses Categories (KAKENHI)

[https://www.mext.go.jp/a\\_menu/shinkou/hojyo/20230711-mxt\\_kouhou02-1.pdf](https://www.mext.go.jp/a_menu/shinkou/hojyo/20230711-mxt_kouhou02-1.pdf)

**5-5-2. Submission of Notification of Donation and Management of Articles Easily Convertible to Cash**

Articles valued at 50,000 yen or more and less than 200,000 yen, equipment valued at 200,000 yen or more, and books recognized as an asset (evidently intended for long-term use) purchased with direct expenses of KAKENHI shall be donated to the University immediately upon purchase subject to the KAKENHI spending rules. The University shall put the “KAKENHI” seal on such donated articles, equipment and the like, and manage them as articles and assets of the University.

**■Management of articles and equipment (submission of Notification of Donation is required)**

The title and ownership of articles and equipment donated to the University shall belong to the University, and, during the research period, researchers may keep such articles and equipment in their laboratory and use them for their own purpose at their own risk. Such articles and equipment shall be returned to the University at the end of the research period and upon their retirement. However, if a Principal Investigator or Co-Investigator transfers from the University to another research institution during, or within five years after the end of, the KAKENHI-funded research period (for the period after that, please consult), such articles and equipment, etc. donated to the University may be returned to the donor at the donor's request so that they can be used at the research institution that the donor transfers to.

**■ Management of articles easily convertible to cash that are valued less than 50,000 yen (no submission of Notification of Donation is required)**

Even priced under 50,000 yen (tax included), articles easily convertible to cash, etc. (PCs, tablets such as iPad, video cameras, digital cameras, TVs, monitors, projectors, audio recording equipment, video recording equipment and equivalents) shall be managed by attaching asset labels or the like on the articles. Such articles that are no longer of use shall return to the Faculty Office, etc.

**5-5-3. Purchase of Joint-use Facilities with Multiple Research Fund**



## Programs

It is also possible to purchase such facilities by using the following research fund programs in combination with the direct expense.

[Research Fund Programs to Be Used in Combination to Purchase Joint-use Facilities]

Each of the competitive funding programs supported by the five corporations, namely Japan Agency for Medical Research and Development (AMED), Japan Science and Technology Agency (JST), Japan Society for the Promotion of Science (JSPS), Bio-oriented Technology Research Advancement Institution (BRAIN),  
New Energy and Industrial Technology Development Organization (NEDO)

## 5-6. Travel Expenses

Official travels funded by KAKENHI shall be basically subject to the University's internal rules, and in accordance with the rules for KAKENHI-funded travels.

### <1> Types of Official Travel

#### (1) Research Travel

\*See "4-3. Research Travel" for rules and other matters about research travel.

#### (2) Travel upon Invitation

If a Principal Investigator belonging to another research institution makes full-time faculty members of the University go on official travel as a Research Collaborator, the travel shall fall under the travel upon invitation and therefore the University shall not pay for travel expenses therefor. State the fact in the Travel Approval Request Form.

### <2> Procedures for Official Travel

Category	Specific Procedures
◎If a full-time faculty member of the University goes on travel as: • Principal Investigator, • Co-Investigator, • Research Collaborator,	(i) Submit Travel Approval Request Form and an itinerary to the Faculty Office in charge. (The submission of a simple itinerary may be omitted.) (ii) After returning, request reimbursement by attaching evidence documents such as receipts. (iii) Submit the KAKENHI Travel Report (Record) to the Faculty Office. (iv) Travel standards and travel expense standards (such as daily allowances, accommodation fees) shall be subject to Soka University Regulations on Official Travel for Faculty Members and Soka University Regulations on Travel Expenses for Faculty Members in principle, but may be subject to the regulations of the said research institution for a Research Collaborator or the like if a Principal Investigator belongs to another research institution.
◎If a researcher other than a full-time faculty member of the University goes on travel as: • Research Collaborators, or  (such as Part-time lecturer, graduate student, undergraduate student, post-doctoral research fellow, visiting researcher)	(i) A Principal Investigator shall submit the KAKENHI Spending Application Form and a travel expenses calculation form to the Faculty Office. (ii) After the travel, an actual amount paid for transportation expenses and accommodation fees shall be paid to the researcher's bank account based on the travel expenses calculation form. (iii) After the travel, submit the KAKENHI Travel Report (Record) to the office in charge. <Approach to actual travel expenses> <ul style="list-style-type: none"> <li>• Accommodation fees shall be paid up to the maximum amount under the internal rules.</li> <li>• Transportation expenses shall be paid based on actual fares when using the most economical and reasonable means of transportations.</li> <li>• If ships, aircraft, highway buses and taxis are used, submit receipts, boarding pass stubs and the like.</li> <li>• Graduate students and undergraduate students must use student discounts on public transportation for a route of 101 kilometers or more as much as possible.</li> <li>• Daily allowance shall not be provided.</li> </ul>

<p>◎If a researcher belonging to another research institutions goes on travel as:</p> <ul style="list-style-type: none"> <li>• Co-Investigator,</li> <li>• Research Collaborators,</li> </ul>	<ul style="list-style-type: none"> <li>(i) A Principal Investigator of the University shall submit the KAKENHI Spending Application Form and a travel expenses calculation form to the Faculty Office.</li> <li>(ii) If necessary, issue Request for Business Trip under the name of Principal Investigator to the head of the research institution to which the researcher belongs.</li> <li>(iii) Upon submission of the written approval in response to the Request for Business Trip, travel expenses may be provided. <ul style="list-style-type: none"> <li>* Payment standards of travel expenses concerning official travels shall be in accordance with Soka University Regulations on Travel Expenses for Faculty Members. However, at the request of a researcher, the researcher's research institution's regulations on travel expenses shall apply.</li> </ul> </li> <li>(iv) After the travel, travel expenses shall be paid to the researcher's bank account of based on the travel expenses calculation form (in any form).</li> <li>(v) If there is any surplus or deficiency in the amount provided, travel expenses shall be settled after the travel.</li> <li>(iii) After the travel, submit the KAKENHI Travel Report (Record) to the Principal Investigator.</li> </ul>
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### <3> Invitation of Researchers

Researchers may be invited to execute a research project subject to prior internal approval.

- (1) A Principal Investigator or Co-Investigator(s) shall submit the KAKENHI Spending Application Form, the Request Form for Honoraria and other necessary documents to the office in charge.
- (2) Submit a travel expenses calculation form (in any form) as necessary.
- (3) Submit the Request for Business Trip as necessary.
- (4) Honoraria and transportation expenses shall be paid to the researcher's bank account.
- (5) Obtain a receipt if cash payment is required.

## 5-7. Personnel Cost / Honoraria

KAKENHI expenses may be used to pay for honoraria, compensation, wages and salaries to Research Collaborator(s) (postdoctoral researchers, research assistants (RA), researchers belonging to overseas research institutions, and others) who are engaged in organizing materials, assisting in experiments, performing translation or proofreading, providing technical knowledge, distributing and collecting questionnaires and collecting information materials for research), and payment to temporary staff agencies. However, KAKENHI expenses may not be used to pay Personnel cost or Honoraria to Principal Investigator or Co-Investigator(s). It is prohibited to use KAKENHI expenses to pay Personnel cost or Honoraria to full-time faculty members of the University.

### <1> Personnel Costs

- Personnel costs of people who directly engaged in operations and projects, which are expenses of the researcher who takes initiative in research
  - Personnel costs (including paid leaves and the like) of research grantees as well as their statutory benefit costs, commuting expenses, housing allowance, dependent allowance, work location allowance and retirement allowance relating to experiment on contract, etc.
  - Personnel costs (including paid leaves) of researchers directly employed by an institution, such as post-doctoral research fellows, as well as their statutory benefit costs, commuting expenses, housing allowance, dependent allowance, work location allowance and retirement allowance relating to experiment on contract, etc.
  - Costs related to special equipment operators and dispatched researchers from dispatching business operators
  - Expenses, etc. related to temporarily transferred researchers from other institutions
- Personnel costs of people who directly engaged in operations and projects, which are expenses of people in charge of research, etc. as an assistant.
  - Research administrator, research assistant
  - Part-time worker, part-timer and dispatched worker in charge of assisting in research
  - Technical assistant, academic assistant, clerical assistant, secretary, etc.

■Payment standards

Refer to 4-5 .< 1 >.

■Necessary documents

Refer to 4-5 .< 2 >.

<Points to be Noted>

- If official travel is involved, hourly wage as well as actual costs incurred for the travel shall be provided. For accommodation fees, actual costs shall be paid within the range set forth by internal regulations.
- To employ Research Collaborators, a research institution must enter into an employment agreement as a party thereto. A Principal Investigator may not directly employ them.
- If a researcher employs part-time workers, etc. by using public research funds, including KAKENHI,
  - ①the personnel in charge at the Faculty Office, etc. may conduct on-site confirmation the place where the part-time workers, etc. are employed in cooperation with the researcher.
  - ②there is monitoring investigation by the Compliance Promotion Office which is so-called planning office for fraud prevention.
  - ③the part-time workers may be asked for their opinions by auditors form Internal Audit Office.

## <2> Honoraria

- Expenses for the provision of knowledge, information and technologies required to carry out operations and projects
  - Honoraria to external members of a research steering committee and the like for their attendance
  - Honoraria for lecture sessions, etc.
  - Honoraria to individuals for their provision of services using technological expertise (such as lectures, technological guidance, and writing/peer review/proofreading of manuscripts (in Japanese or a foreign language))
  - Honoraria for provision of services, such as organizing data and materials
  - Honoraria for interpretation and translation services (outsourced to individuals)
  - Work fees to students, etc.
  - Honoraria to test subjects, etc.

■Payment standards

Refer to 4-4.

■Necessary documents

Refer to 4-4.

## 5-8. Miscellaneous Provisions

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- Expenditure of annual membership fees (including initial membership fees) for academic societies through KAKENHI

It is possible to pay the annual membership fee (including initial membership fees) of the academic society necessary for carrying out the KAKENHI. In addition, it is possible to pay the participation fee of the academic conference necessary for carrying out the KAKENHI.

- Payment of meeting expenses and expenses for external relations from the KAKENHI funds  
If holding of a meeting, etc. is deemed necessary for executing the project and if the meeting is held during beverage and mealtime, expenses for meals (excluding alcohol beverages) may be covered by the MEXT competitive funding, including KAKENHI. (Internal research funds such as research funds for individual researchers may not be used for such payment.  
The following procedures shall be taken:

- (1) Be sure to make prior application. Submit the KAKENHI Spending Application Form to each office in charge.
- (2) Claim for expenses is on the basis of payment on invoice in principle. However, payment to be

reimbursed later is acceptable in any of the following cases:

[Cases Where Payment to Be Reimbursed Later Is Acceptable]

- Prior application has been made for a cost of 3,000 yen or less per unit (per person) and a total payment of less than 50,000 yen per case
- Prior application is made for a cost of 1,000 yen or less per unit (per person).
- Payment of rewards by book cards or other cash vouchers from the KAKENHI funds  
The MEXT competitive funding programs (such as KAKENHI) allows paying for rewards by book cards or other cash vouchers. The following procedures shall be taken:

- (1) Be sure to make prior application. Fill in specific details of a plan for spending cash vouchers, such as the purpose, date and time, place, distribution targets/amount/number of recipients, etc., in the KAKENHI Spending Application Form and submit it to each office in charge.
- (2) Use the Purchase Request Form to purchase cash vouchers after the KAKENHI Spending Application Form is approved.
- (3) Be sure to obtain a receipt (in a designated form) when distributing.
- (4) Submit the receipts to the office. If a cash voucher is left unused, the remaining amount shall be paid to the office.

If there are unused book cards purchased via the Accounting Section, the remaining cards shall be returned to the office. It is unnecessary to pay the remaining amount.

- Exceptional Use of Business Class, etc. when Using Airplanes

Due to the unstable situation of airfares caused by various social circumstances, in the fiscal year 2023, when traveling for research purposes using aircraft with public research funds such as KAKENHI, it is possible to use business class or equivalent under the conditions described in Section 4-3, "<2> Travel Expenses" of the "Research Handbook". However, even if these conditions are not met, it is possible to apply for special use of business class or equivalent by submitting a request form to the administrative office of each department if the flight time is eight hours or more (excluding transfer time if there is a transfer), and approval is obtained from the overall management responsibility officer (vice president) of the public research funds.

## 5-9. Restrictions on Combined Use

KAKENHI may not be used in combination with the University's internal research funds, such as research funds for individual researchers in principle given that the internal research funds partly come from the subsidy for current expenditures to private institution of higher education.

The subsidy for current expenditures to private institution of higher education shall not be provided to any national grant-in-aid programs. Since KAKENHI is a national subsidy program, expenses related to KAKENHI shall not be covered by the subsidy. In addition, KAKENHI prohibits a combined use with the subsidy for current expenditures to private institution of higher education.

Notwithstanding the foregoing, the following combined uses that have been exceptionally allowed shall be acceptable:

[Acceptable Combined Uses]

- (1) If one official travel covers both business related to a grant-aided project and other business as follows:
  - A round-trip ticket is purchased under one contract, and since the first part of the itinerary relates to the business for the grant-aided project, travel expenses on the way to the destination are paid with the direct expense.
  - In case of staying for five nights at a hotel under one contract, two nights relating to the business for the funded project are paid with the direct expense.
- (2) In case of purchasing one unit (\*) of consumables, etc. intended for both use related to grant-aided project and other use as follows:

(\*The term "one unit" includes one purchase group, such as one dozen and one case.)

  - One unit of consumables, etc. is purchased under one contract, and after dividing the unit into the quantity intended for use in the grant-aided project and the quantity intended for other use, only the former is paid with the direct expense.

- (3) If other expenses without restrictions on use (excluding expenses for contracted project, subsidy for current expenditures to private institution of higher education, the KAKENHI indirect expenses and other expenses with restrictions on use) are used in combination with the direct expense for the grant-aided project. (However, if such combined use is intended for purchasing facilities, etc., the handling of such facilities, etc, shall be determined in advance so that there will be no problem in conducting a grant-aided project even if the researcher transfers to another research institution.)
- (4) If facilities to be shared among multiple research projects (joint-use facilities) are purchased by combining funds among different KAKENHI funding, or by adding a research funding program that allows purchasing of equipment to direct expense. \* (However, this is limited to joint-use facilities to be purchased at the same research institution. The shares of each project and the basis for calculation thereof should be clarified in advance.)
- \* To purchase joint-use facilities, it is now possible to use, in combination with the direct expense, each of the competitive funding programs supported by the five corporations, namely Japan Agency for Medical Research and Development (AMED), Japan Science and Technology Agency (JST), Japan Society for the Promotion of Science (JSPS), Bio-oriented Technology Research Advancement Institution (BRAIN), and New Energy and Industrial Technology Development Organization (NEDO).

[Cases Not Regarded as Combined Use]

- (5) If, for one official travel dealing with both the business for a grant-aided project and other business, different contracts and payments are made according to the nature of businesses.
  - Due to different contracts that each fits their respective purpose, this case does not fall under a combined use. (For example, if the first half of the itinerary relates to the business for a grant-aided project and tickets are purchased for one way each, transportation expenses for a one-way ticket to a destination shall only be paid from KAKENHI.)
- (6) If, as for KAKENHI (Multi-year Funds), expenses requested in the previous fiscal year and to be used in the current fiscal year are combined with expenses to be requested in the current fiscal year and then the combination is used under one contract for a grant-aided project.
  - Since KAKENHI (Multi-year Funds) expenses have no distinction in fiscal years, this case does not fall under a combined use.

○KAKENHI may be used in combination with a researcher's own expense for travel expenses and purchasing consumables.

However, this shall be only allowed if it is impossible to pay in full with KAKENHI at the end of a fiscal year or due to other reasons.

○A combined use of the direct expense and the indirect expense of KAKENHI shall not be allowed.

○KAKENHI expenses granted to multiple researchers of the University may be combined to purchase facilities to be shared among the researchers. However, this may apply under certain conditions, so those who would like such combined use should consult with the Faculty Administration Office beforehand.

## 5-10. Changing Allocation of Direct Expense

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A Principal Investigator and Co-Investigator(s) must use direct expenses according to the amounts of each cost item as described in the form for formal application for grant delivery. A Principal Investigator, however, may change the allocation of expenses to each cost item within a range of 50% of the total amount of the direct expense (or, when 50% of the direct expense is 3 million yen or less, up to 3 million yen) without the approval of JSPS.

If the amount of the change in the allocation exceeds the above range, consult with the Faculty Office or the Faculty Administration Office.

## 5-11. Publishing Research Achievement

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When publishing research achievements that have been obtained as a result of the KAKENHI, researchers should always be sure to indicate that the KAKENHI was received.

If the indication that support was received in the form of the KAKENHI grant is to be made in the acknowledgments or other designated section, researchers should include JP and the 8-digit JSPS KAKENHI Grant Number. Even if the research period has been over, researchers are required to indicate



JP and the 8-digit JSPS KAKENHI Grant Number.

- For Grant-in-Aid for Scientific Research granted by the Ministry of Education, Culture, Sports, Science and Technology (MEXT)  
: MEXT KAKENHI Grant Number JP and the 8-digit Grant Number.
- For Grants-in-Aid for Scientific Research granted by the Japan Society for the Promotion of Science (JSPS)  
: JSPS KAKENHI Grant Number JP and the 8-digit Grant Number

■Examples of the appropriate format for the indication are given below.

- When one KAKENHI has been used to write the paper (Grant Number12K34567)

English: This work was supported by JSPS KAKENHI Grant Number JP12K34567.

Japanese: 本研究は JSPS 科研費 JP12K34567 の助成を受けたものです。

- When multiple KAKENHI have been used to write the paper (three in this case)

(Grant numbers xxxxxxxx, yyyyyyyy, zzzzzzzz)

English: This work was supported by JSPS KAKENHI Grant Numbers JPxxxxxxx, JPyyyyyyy, JP zzzzzzzz.

Japanese: 本研究は JSPS 科研費 JPxxxxxxx, JPyyyyyyy, JPzzzzzzz の助成を受けたものです。

※The each research categories for the KAKENHI in English will be shown in the

following URL.

JSPS : [https://www.jsps.go.jp/j-grantsinaid/01\\_seido/01\\_shumoku/index.html](https://www.jsps.go.jp/j-grantsinaid/01_seido/01_shumoku/index.html)

\*On the occasion such as you release the research achievements using the KAKENHI broadly to the public, the examples of the indication noting that the research achievements are based on the personal views are given below.

English: Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the author(s)' organization, JSPS or MEXT.

Japanese: 本研究の成果は著者自らの見解等に基づくものであり、所属研究機関資金配分機関及び国の見解等を反映するものではありません。

## 5-12. Organization and Retention of Relevant Documents

The KAKENHI grant requires research institutions to organize and retain relevant documents, so the following documents shall be kept for five years after the end of the period of a grant-aided project. (For 10 years under the University's internal regulations)

The following documents shall be submitted by administrative personnel to JSPS on electronic and paper-based media, and researchers are required to keep the corresponding copies at hand.

[Documents to be Retained by Researchers]

- (1) Copies of documents submitted to JSPS
  - Research Proposal Document
  - Form for formal application for grant delivery (Granting request form)
  - Request for payment
  - Implementation Status Report (Report on State of Income and Expenditure, the Report on the State of Research Implementation)
  - Report on the Results (Income and Expenditure Account Statement, Report on the Research Results)
  - Report on the research achievements
  - Revised version of documents and other documents
- (2) Documents sent by JSPS
  - Notification of the decision to grant the funding
  - Notification of the determination of the amount, etc.
- (3) Other evidence documents

## 5-13. Tracking of Spending Status

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Make efforts to understand the status of spending KAKENHI during the research period. On top of that, the spending status shall be informed of by the Faculty Office several times a year, which should be compared to the research plan. Also at the beginning of a fiscal year, the spending status for the previous fiscal year shall be informed of, which should be used as the basis of values entered on a Report on the Results (Income and Expenditure Account Statement) or a Report on State of Implementation (Report on State of Income and Expenditure).

[When to Notify Researchers]

1st time: At the end of June

2nd time: At the end of August

3rd time: At the end of October

4th time: At the end of December

5th time: At the end of January ... \*The above notification timing to each faculty may slightly vary.

## 5-14. Carried-over System and Return of Research Funds

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### <1> Carried-over System

If the funded project is not expected to be completed for unavoidable reasons that could not be anticipated at the time of the official grant decision, the research grant can be carried over to the next fiscal year for use.

■Examples of cases where the research grant can be carried over to the next fiscal year are as follows:

(Example 1) It becomes temporarily difficult to continue research due to earthquakes, tsunamis, heavy rains and other reasons.

(Example 2) Finding of new knowledge that could not be anticipated caused research method to be reviewed, delaying the research plan.

(Example 3) Due to security-related problems and other reasons in a country which researchers planned to visit, it became necessary to extend the travel period and consider alternative measures, delaying the research plan.

### <2> Return of Research Funds

Return the unused amount at the end of the grant-aided research project. Returning any unused amounts will not cause disadvantage for subsequent KAKENHI reviews.

## 5-15. In Case of Loss of Receipts and Other Evidence Documents

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As for public research funds, such as KAKENHI, accounting treatment (reimbursement) cannot be performed without receipts and other evidence documents. In that case, a researcher who has lost such documents shall bear the cost.

## 5-16. Points to Be Noted Concerning Audit, etc.

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The University has the Internal Audit Office perform internal audits of KAKENHI and the Compliance Promotion Office conduct KAKENHI monitoring every year. Such audit and monitoring shall be performed from the following viewpoints, which should be considered in various procedures:

### <1> General

- Whether there is an unacceptable combined use.
- Whether purchased articles, etc. are kept in a laboratory.
- Whether documents to be retained are retained.
- Whether each piece of equipment and each article has an asset label on it.
- Whether researchers have completed education on research ethics and compliance education.

- Whether amounts in the Report on the Results to be submitted to JSPS are consistent with those on account books.

## <2> Cost of goods

- Whether payment to be reimbursed later is not occurring so frequently. \*Viewpoint of planning ahead
- Whether unavoidable reasons are stated in the reimbursement reason field of the Reimbursement Request Form.
- Whether articles easily convertible to cash are not purchased by making payment to be reimbursed later.
- Whether a publication agreement has been entered into for Grant-in-Aid for Publication of Scientific Research Results (Scientific Literature).  
Whether royalties, etc. are being properly handled.
- Whether a researcher can explain the purpose of use of purchased articles, etc. based on the content of the Research Proposal Document.
- Whether purchased articles are properly disposed of.
- Whether purchased articles, etc. are not used for unintended purpose. \*Equipment, etc. with multiple uses
- Whether laboratory consumables are properly processed after being used.

## <3> Personnel cost/Honoraria

- Whether employment contracts, “Kinmu kiroku hyo” = Part-Time Employee Monthly Time Sheet evidence documents and other evidence documents are retained. (Part-time workers are managed by electronical system)
- Whether entries on “Kinmu kiroku hyo” = Part-Time Employee Monthly Time Sheet are appropriate.  
\*Actual working conditions, etc. (Confirmation of actual working conditions)
- Whether deliverables are retained.
- Whether a payment of honoraria is not made to any unauthorized person.
- Whether service agreements, etc. are properly handled.

## <4> Travel expenses

- Whether the Travel Report was submitted.
- Whether evidence documents are all set.
- Whether the business of overseas official travel is clear. How a researcher is involved in the business.
- Whether there is any evidence confirming facts about the official travel by Research Collaborators.  
\*Work report, etc.
- In which part of the Research Proposal Document the official travel is described. Or whether its purpose is described.

## Chapter 6 Internal Research Promotion System

### 6-1. Prioritized Research Promotion Project

The Soka University Prioritized Research Promotion Project (“Project”) is a funding program designed to achieve the objectives under Soka University Grand Design 2021-2030, which are “the creation of distinctive prioritized research themes that boost international reputation” and “the creation and implementation of interdisciplinary research that contributes to achieving SDGs.”

#### 1. Research Fields in Scope

The Project covers all fields ranging from humanities and social sciences to natural sciences.

#### 2. Research Programs Seeking Applications

The Project consists of the following two types of programs:

##### (1) Type A: Prioritized Research Promotion Program

Provide funds to research programs that applies for a large-scale research category of Grants-in-Aid for Scientific Research (“KAKENHI”) sponsored by MEXT and JSPS.

## (2) Type B: SDGs Promotion Program

Provide funds to research programs that aim to achieve the United Nations Sustainable Development Goals (SDGs).

### 3. Requirements for Application

To apply for the Project, it is necessary to meet the following requirements:

#### (1) Type A

- The applicant has applied for any of the following KAKENHI research categories as a Principal Investigator in the fiscal year for which this program seeks applications.
  - (i) Grant-in-Aid for Specially Promoted Research,
  - (ii) Grant-in-Aid for Scientific Research (S),
  - (iii) Grant-in-Aid for Scientific Research (A),
  - (iv) Transformative Research Areas (A) \*As an area representative only, or
  - (v) Transformative Research Areas (B) \*As an area representative only.
- The applicant has formed a research organization consisting of at least five researchers.
- The research organization has at least two researchers belonging to a research institution other than the University.

#### (2) Type B

- The applicant has applied for (or is a grantee of) any of the KAKENHI research categories in a fiscal year preceding the fiscal year for which the program seeks applications. Extended or carried-over projects are also eligible for application.
  - \* For Both Type A and Type B, it is a requirement to have applied for KAKENHI, but grant will be provided regardless of the status of adoption and grant acquisition.

### 4. Eligibility for Application

- The Principal Investigator of a project is a full-time faculty member of the University (excluding assistant professors).
- The employment period of the Principal Investigator must cover the end of the research period.
- The eligibility for application for the KAKENHI categories set forth in the preceding paragraph must be satisfied.
- The applicant has not been subject to any disciplinary action for committing misuse of research funds and misconduct of research activities.

### 5. Research Period

The research period shall be for one year in principle. A Type B applicant who desires to receive grant for consecutive two years or more must submit application as a "continued project" during the application period of the following fiscal year.

- (1) Type A: From December 1 of the fiscal year in which a project is adopted to November 30 of the following year
- (2) Type B: From June 1 of the fiscal year in which a project is adopted to March 31 of the following year

### 6. Application Procedures

Submit the following documents to the Research Support Section by the deadline. Contact the Research Support Section to have an application form sent.

#### (1) Type A

- Designated application form
- KAKENHI Research Proposal Document (PDF)

#### (2) Type B

- Designated application form

#### [Points to be noted]

- No researcher who has not attended or completed the compliance education and APRIN e-Learning Program (eAPRIN) for education on research ethics provided by the University may make application and participate in a research organization (researchers belonging to the University).
- It is possible to apply for the Project each fiscal year, as long as desired.

- It is not allowed to apply for both Type A and Type B during the same fiscal year. However, it is allowed to do if the applicant is a Co-Investigator for either Type A or Type B.

## 7. Application Period

- (1) Type A: From Tuesday, September 16, 2025, to Friday, October 3, 2025
- (2) Type B: From Monday, March 3, 2025, to Friday, May 2, 2025

## 8. Selection

### (1) Selection Panel

The Project Management Committee under the Research Promotion Center Steering Committee shall serve as the Selection Panel that is in charge of selection of projects based on the selection criteria. After that, following the review at the Research Promotion Center Steering Committee, the Board Meeting is to determine whether to adopt the application or not and, if adopted, the grant amount.

### (2) Selection Method

Selection is made through a screening of application documents and, if necessary, interviews. Approval may be given with conditions that require a Principal Investigator to review the content of research or research organization.

### [Points to be noted]

- In the course of selection, information on the researchmap and the faculty member achievements system, etc. may be referenced to check achievements made by a Principal Investigator and Co-Investigators. Ensure that information of research achievements, etc. is updated before applying.
- It is considered in selection whether a project is cross-disciplinary (interdisciplinary field), and whether a project incorporates perspectives of collaboration with industry and government, and training of young researchers. Young researchers are those who acquired their Ph.D. no less than eight years ago, or those who have been working at the University as a full-time faculty member for no less than five years at the time of application.
- The selection will be conducted based on quotas in the categories of “Humanities and Social Sciences” and “Natural Sciences.”

## 9. Selection criteria

The selection is made based on the following five criteria:

- (1) Academic importance of the research project,
- (2) Appropriateness of the research method,
- (3) Research execution ability and adequacy of research environment,
- (4) Appropriateness of research expenses, (This might be waived on the Type A)
- (5) Application and acquisition status of external funds.

## 10. Selection Results

### (1) Type A

By early December, selection results will be notified to a Principal Investigator and research funds will be provided.

### (2) Type B

By late May, selection results will be notified to a Principal Investigator and research funds will be provided.

\* Any inquiry about selection details or results may not be accepted for either Type A or Type B.

## 11. Amount of Grant and Planned Number of Grantees

### (1) Type A

Amount of Grant: Up to 2 million yen per project

Number of Grantees: About 1 or 2 projects

### (2) Type B

Amount of Grant: Up to 500,000 yen per project

Number of Grantees: About 2 or 5 projects

\* The above grant is the maximum amount for both Type A and Type B, and may be reduced depending on the situation of application.



\* A result of additional application might be announced later.

## 12. Execution of Research Funds

- (1) The execution and management of the grants shall be subject to Soka University Regulations on Research Funds for Individual Researchers.
- (2) Type A research funds can be used in the relevant fiscal year and the following fiscal year, whereas Type B research funds can be used in the relevant fiscal year only.
- (3) The research funds may be used in combination with research funds for individual researchers.
- (4) The research funds may not be managed in such a way that a Principal Investigator has overall control of the funds and distributes them to Co-Investigators.
- (5) 60% of the research funds may be added to the maximum amount of the research travel expenses set forth in Article 6 of Soka University Regulations on Research Funds for Individual Researchers.
- (6) Even if a researcher who has received research funds under the Project also becomes a grantee of KAKENHI, the researcher will not be required to pay back the research funds. The researcher is also allowed to continue to use the remaining research funds.

## 13. Change in Allocation of Research Funds

A Principal Investigator who wants to change the allocation by expense category in using the research funds must submit the application form to change the allocation of research funds to obtain the approval of the Selection Panel beforehand. However, this does not apply to a case where a difference after the change in allocation is within 50% of the research funds in the relevant fiscal year.

## 14. Report on Research Achievements

A Report on the Research Achievements for a grant-aided project must be submitted to the President of the University by the prescribed deadline. Attach deliverables, such as a research paper and a publication, if any, to the Report to be submitted.

## 15. Early Termination of Research

If a project falls under the following items, the project may be terminated earlier than planned by the Board Meeting following deliberation at the Selection Panel:

- (1) When the improvement of research results is not recognized;
- (2) When the research has not progressed on schedule;
- (3) When there is a change in members of a project; or
- (4) When the President deems it inappropriate.

The University may require a Principal Investigator whose project is terminated earlier than planned to pay back the research funds which has been already distributed.

## 16. Obligations of Research Project

Researchers participating in a grant-aided project are required to do the following matters:

- Apply for the KAKENHI research category at least for three years, which is a requirement for application; and
- Proactively publish the research achievements. Submit a paper especially to international journals listed in Scopus in a proactive manner. (As for the arts field, submit a paper to journals of the same level as the above in a proactive manner.)

# 6-2. Prioritized Research Center System

This system aims to support advanced and original research activities at the University intensively and thereby create and promote distinctive research that helps raise the University's international reputation and produce excellent talents who will contribute to solving social issues.

## 1. Requirements for Certification

To be certified as a prioritized research center, it is necessary to satisfy both of the requirements (1) and (2) at the time of application.

- (1) Whether the research center is deemed to have high capabilities of performing research (research achievements).
  - The center has a total of 50 research papers or more published on Scopus over the past five

years. However, as for the arts field, the center has a total of 30 papers or more published on journals of the same level as those listed on Scopus over the past five years.

- All researchers belonging to the research center have proactively applied for KAKENHI and at least three projects in total were adopted over the past five years.

(2) Whether the composition and environment of research organization have been established.

- The head of a researcher's faculty has approved the researcher's participation; and
- Not only existing laboratories/centers but also research groups each consisting of at least 2 full-time faculty members of the University are regarded as a research organization. A Principal Investigator shall be a full-time faculty member of the University. Researchers outside the University may also participate by obtaining the approval of the President, but only researchers of the University are allowed to execute research expenses.
- A Principal Investigator must be a full-term faculty member whose term covers the end of a certified period in principle. However, subject to the approval of the President, a researcher whose term of a full-term faculty member ends during the certified period may be a Principal Investigator.
- Equipment, materials and any other necessary item for execution of research projects are well prepared. Or, they can be prepared until the certified period starts.

## 2. Description of Support

Out of the following types of support, those deemed necessary shall be provided for a center certified as a prioritized research center:

- Expenses for the center in the amount determined at the Research Promotion Center Steering Committee and the Board Meeting shall be provided, up to the amount equivalent to "the University's expenses" of indirect expenses of competitive research funds, etc. acquired by the facilities and researchers covered by the application.
- For researchers belonging to the center, their duties at the University will be reduced.
- Other matters deemed necessary by the President.

## 3. Composition of a Center

A center shall be operated by:

- Head of the center (representative), and
- Researchers based on the center.

## 4. Certified Period

- The certified period shall be five years in principle, which may be renewed.
  - \* In principle, the certified period start from April 1 of the next academic year after the application.
  - \* The renewal of the certified period shall be reviewed based on the report of achievements, etc. at the Research Promotion Center Steering Committee and the Board Meeting

## 5. Certification Process

A center shall be certified as a prioritized research center by taking the following steps:

- (1) Submission of application form,
- (2) Screening of application documents, and
- (3) Interview.

Screening of application documents and interviews shall be conducted by the Project Operation Support Task Force of the Research Promotion Center and approved by the Research Promotion Center Steering Committee and the Board Meeting.

## 6. Criteria for Certification

- Whether the structure and proposal have a potential to produce research achievements to be highly recognized by international journals and at societies;
- Whether the goal to achieve and roadmap therefor of a research project are clearly presented;
- Whether the proposal is excellent enough to lead to acquiring large-scale external competitive funds in the future;
- Whether it is the plan effective to develop young researchers (such as post-doctoral research fellows and graduate students); and

- Whether the center is judged as having high capabilities of executing research projects (or to produce research achievements).

## 7. Public Announcement of Certification, etc.

A newly certified center or withholding of the certification of a center shall be announced on the University website.

## 8. Report to the President

By the end of May each year, the summary of activities conducted in the previous fiscal year shall be compiled and reported to the President via the head of the researcher's department, etc. and the head of the Research Promotion Center.

## 9. Cancellation of Certified Research Base

If activities of a project at the certified center are suspended or it is found difficult to operate the certified center mainly with external funds, notify the President thereof promptly.

## 10. Termination of Certified Research Base

When the center is no longer in place, a researcher shall compile research achievements related to the center and report to the President via the head of the researcher's department, etc. and the head of the Research Promotion Center.

## 11. Obligations of Certified Center

- (1) Submit a report and implementation plan for each fiscal year to the Research Promotion Center Steering Committee;
- (2) Proactively publish the research achievements externally. Submit a paper especially to international journals listed in Scopus;
- (3) Send news release to newspapers, TVs and other news media outlets with the help of the Planning Division and report any news coverage of research achievements, etc beforehand;
- (4) Provide cooperation in research promotion activities organized by the University (such as attendance to a seminar for acquiring external funds, a seminar for authoring international papers); and
- (5) Make efforts to acquire large-scale external competitive funds (such as KAKENHI Grant-in-Aid for Scientific Research (S) and (A), KAKENHI Grant-in-Aid for Scientific Research on Innovative Areas, and JST Strategic Basic Research Programs) to help continuously develop a project.

## 12. Clerical Work at Certified Center

Clerical work related to research, etc. that faculty members, etc. who are members of a prioritized research center conduct as part of activities of the center shall be performed by the administrative office of a department to which the faculty members, etc. belong.

## 6-3. Research and Development Facilitation Grants

If a researcher applies for the KAKENHI grant as Principal Investigator but fails, 150,000 yen or 50,000 yen shall be provided to those who failed (ranked A) or those who failed (ranked B) respectively. Researchers who request for the grants should fill out the designated application form, print out their review result with the KAKENHI Electronic Application System and submit it to the Faculty Affairs Office. However, even if applying for the KAKENHI grant in multiple research categories, they may apply for this grant once a fiscal year. The grants may be used in combination with research funds for individual researchers in the relevant fiscal year. The grants may also be used during the foreign residency research program and the research fellow program.

### ◎Eligibility

- (1) The applicant has conducted excellent research activities in his/her own field.
- (2) The applicant has applied for MEXT or JSPS-supported KAKENHI program in the relevant fiscal year but failed.
- (3) The applicant has not received other KAKENHI funds in the relevant fiscal year. However, this shall not apply if the applicant has received other KAKENHI funds as a Co-Investigator.
- (4) The applicant has not been subject to disciplinary actions over the past one year, or is not currently

taking leave from work.

◎Points to Be Noted Concerning Execution

- (1) Use the grants by the end of the relevant fiscal year.
- (2) The execution and management of the grants shall be subject to Soka University Regulations on Research Funds for Individual Researchers.
- (3) The grants may be used in combination with research funds for individual researchers. In that case, research travel expenses may be used at the amount exceeding the upper spending limit (250,000 yen), and up to 60% of the grants (90,000 yen for those ranked A and 30,000 yen for those ranked B) may be used in combination with the research travel expenses.
- (4) If the applicant becomes a grantee of KAKENHI after receiving the grants, the execution of the grants shall be suspended immediately, but the applicant shall not need to pay back any used amount.

\* Starting from the FY2019 application, all recipients of this grant program are required to apply for the KAKENHI grant in the following year.

## **6-4. Academic International Conference Dispatching System**

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When a researcher presents the findings of research, or assumes an important role in conference operations at a conference organized by an internationally recognized academic organization, travel expenses up to 100,000 yen per travel shall be provided in addition to research travel expenses and instructing travel expenses. However, the additional travel expenses under this system may not be used in combination in case of KAKENHI-funded travel.

Full-time faculty members (assistant professors or above) are eligible for application of this system. \*This system may not be used during the period of foreign residency research program or the research fellow program.

■Procedures

Submit the Academic International Conference Dispatch Application Form (which can be retrieved from Application-related Folder), the Travel Approval Request Form, documents proving that the academic organization (organizer) is internationally recognized, the event guide of the academic conference and documents proving the researcher's role at the conference (such as a request letter and invitation letter) to the Faculty Office. (Describe the breakdown of the total expenses in the application form.)

## **6-5. Research Funds for Individual Researchers Carrying-over System**

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Any unused research funds for individual researchers at the end of a fiscal year may not be carried over to the following fiscal year in principle. However, if the applicant is a grantee, as a Principal Investigator, of competitive funding programs (programs in the list of competitive funding programs determined by Cabinet Office), including KAKENHI, 100,000 yen or more and 300,000 yen or less (in increments of 10,000 yen) of unused research funds for the relevant fiscal year may be carried over to the following fiscal year. A researcher who is a grantee only as a Co-Investigator of KAKENHI, etc. may not apply. Those who want to apply should submit the designated application form to the Faculty Office by the designated deadline. The deadline for submitting the application form for each fiscal year shall be informed by the Faculty Affairs Office.

## **6-6. Public Research Funds Advance Payment System**

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If a faculty member of the University is a grantee of public grants, such as KAKENHI, the University may temporarily make advance payment at the amount necessary for performing research or a project for a period until the grants are received in order to contribute to the smooth facilitation of research, etc. and proper execution of the grants.

<1> Eligibility for advance payment

- (1) A Principal Investigator who has received the informal decision to grant the funding
- (2) A Principal Investigator of a project that received the grant-in-aid in the previous fiscal year who has received the informal decision on the continuation of the project in the relevant fiscal year
- (3) A Co-Investigator who receives his/her share of the grant from a Principal Investigator. Principal Investigators outside the University are also eligible.

<2> Necessary documents

- Notification of the informal decision to grant the funding
- Notification of the decision to grant the funding
- Notification of planned allocation of the funds
- Copy of the form for formal application for grant delivery, etc.

## 6-7. Foreign Residency Research Program

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Foreign residency research is a program under which researchers shall be exempt from classes and official duties at the University and can be dedicated to research at a university and academic institution overseas. Proposals are called for the short-term foreign residency research program for two months to six months and the long-term foreign residency research program for 10 months to one year.

(1) Documents to be submitted

1. Designated application form (to be retrieved from Application-related Folder)
2. Invitation letter from an accepting institution or a document proving acceptance of the institution (to be translated into Japanese)
  - \* The applicant for the fiscal year after the following fiscal year may submit an invitation letter, etc. by the deadline for application in the following year.

(2) Where to submit

Submit to the Research Support Section by the end of May (on the date as designated) of one year or two years prior to the fiscal year in which a researcher leaves for foreign residency research. The applicant shall be notified of the decision by the end of July. The number of researchers called for shall be no more than 12 for the short-term research program in each fiscal year. (One researcher of the long-term research program shall be deemed as two researchers of the short-term research program.)

(3) Amount provided

Actual costs of airfares and accommodations (8,500 yen per day) shall be provided up to the following amounts. Research funds for individual researchers shall be also provided.

<Long term> Up to 3 million yen (10 months to one year)

<Short term> Up to 1.6 million yen (two months to six months)

Even during the foreign residency research program, basic salary (including bonus), dependent allowance and housing allowance shall be provided.

(4) Eligibility for application

1. A full-time faculty member of the University (excluding fixed-term faculty members) whose tenure at University is no less than three years at the time of the application
2. A researcher who is 56 years old or younger as of May 1 of the year in which the researcher conducts foreign residency research
3. A researcher who used the foreign residency research program, and completed his/her last program no less than eight years (in case of long term) or five years (in case of short term) ago
4. A researcher has used the foreign residency research program three times or less including the current application. However, one long-term program shall be deemed as two short-term programs.
5. A researcher who has stayed with the University for no less than five years (in case of long-term program) or three years (in case of short-term program) since the completion of his/her last foreign residency research program
6. A researcher who used the research fellow program, and completed his/her last program no less than five years ago
7. A researcher who used the foreign residency research and the research fellow program in a row, and completed his/her last program no less than eight years ago



(5) Selection criteria

1. The institution has a system for accepting foreign researchers in place and a research plan is fully ready.
2. The high level of necessity and urgency for research is observed.
3. The improvement of research results is recognized.
4. The applicant has research achievements and is highly motivated for research.
5. The applicant has made contribution to the University through education and other activities.
6. The applicant's participation in the program will not significantly interfere with the operation of classes.
7. The applicant is healthy enough to keep conducting research.

<Points to Be Noted>

1. The period of the foreign residency research program shall be within a fiscal year from April 1 to March 31 of the following year in principle. Please note that it is not allowed to depart in March of the preceding year or return in April of the following year or later. However, it may be allowed to conduct the foreign residency research program over the two consecutive years subject to the approval of the President.
2. Specifically fill in the accepting institution, instructor, destination and other relevant information. Describe the information as clearly as possible by using a word processor, etc. or the like (cut and paste on paper is also acceptable).  
\*For details, confirm with the Faculty Office or the Research Support Section.
3. Findings from the foreign residency research program must be published on a bulletin or journal, or announced at a society and the like within one year after returning to Japan, and shall be reported to the President via a department head.

## 6-8. Research Fellows Program

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Research fellows is a program under which researchers shall be exempt from classes and school affairs either in the first semester or second semester of a year and allowed to be dedicated to research. However, it is not acceptable to use the program over consecutive semesters or keep using it in the next semester. It is possible to execute research funds for individual researchers even during the research fellow program.

(1) Documents to be submitted

Designated application form (to be retrieved from Application-related Folder)

(2) Where to submit

Submit the form by the end of May (on the date as designated) of one year prior to the fiscal year in which the program is used. The applicant shall be notified of the decision by the end of July. The number of researchers called for shall be set in proportion to the number of eligible researchers in each faculty, etc.

(3) Eligibility for application

1. A full-time faculty member of the University (excluding fixed-term faculty members) whose tenure at the University at least eight years at the time of the application.
2. A researcher who used the research fellow program, and completed his/her last program no less than eight years ago
3. A researcher has used the research fellow program twice or less including the current application.
4. A researcher whose tenure at the University is at least two years since the completion of the research fellow program. However, if it is his/her second time becoming a Research Fellow, a researcher who has stayed with the University for at least four years.
5. A researcher who used the foreign residency research program, and completed his/her last program no less than eight years (in case of long-term program) or five years (in case of short-term program) ago

## 6-9. Soka University Buyout System

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This system is designed to enable the direct expense of the competitive funding program established by the Cabinet Office to cover the cost for hiring someone taking over a part of the duties, related to educational activities, other than research activities of a faculty member of the University (that is, the cost of “buyout”). In case of the buyout of a class, etc., the actual expenses (which is the sum of a wage and transportation expenses, allowances, etc. of a part-time instructor) will be charged.

The upper limit of buyout has been predetermined for each department. Please consult with a department head about the necessary procedures beforehand. After obtaining the approval of the department, submit the designated request form to the Research Management Office. For more information, please make inquiry to a person in charge of the buyout system at the Research Management Office.

## 6-10. RA (Research Assistant) Employment Program

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The University may hire a person as a research assistant (RA) who is engaged in assisting work required in the following research projects implemented by the University with external funds, such as grants-in-aid provided by national and local governments and Contracted research funds provided by external organizations.

- (1) Research activities with public funds, etc.
- (2) Research activities outsourced by corporations, etc.
- (3) Research activities with donation
- (4) Other research activities with external funds approved by a department head

◎Hourly wage: 2,500 yen \*The maximum working hours shall be 20 hours per week.

A graduate student in the doctoral program of the University is eligible to be hired as RA and, shall enter into an employment contract subject to the approval of the Graduate School Committee and the President. When employing a RA, a researcher should submit an employment request in the dedicated request form to the designated desk immediately upon decision of the RA employment plan.

- RA employment request form (attachment) \*posted on the portal site.
- Part-timer hiring planning sheet (for RA) (attachment) \*posted on the portal site.

<Specific procedures>

(i) A plan to hire RA is decided (upon adoption of research project, etc.).

(ii) The RA employment request form, and part-timer hiring planning sheet (for RA) are prepared and submitted.

\* Prior approval of a professor in charge of instructing a graduate student to be hired shall be obtained.

(Submitted to: Office in charge of each Graduate School)

Documents to be attached: Notification of grant decision and budget planning of the research project, etc. or equivalent documents (those specifying the name of the fund, grant provider, total grant amount, breakdown of research funds and the like)

(iii) Approval of the Graduate School Committee is given and then the President through circulating the request form is given.

(iv) Administrative work for part-timer hiring requests, including an employment application, is carried out (by office in charge of each Graduate School).

(v) The part-timer starts working. \*From here, the same procedures shall be taken as the procedures for hiring of part-timers.

For details, consult with the contact desk of the Graduate School.

(Application for wage subsidy)

(i) When hiring and providing a wage a RA in a research project that is fully funded by an external organization, the University may provide the same amount of wage subsidy. (Note) This shall not apply to partial subsidy programs, such as government subsidies to private schools.

(ii) The maximum amount of a wage subsidy provided by the University shall be 400,000 yen per person per year.

(iii) By filling in the amount of planned annual wage externally funded and the amount of the wage subsidy

in the employment request form mentioned above, the amount including the amount of the wage subsidy may be budgeted.

(iv) The budget subject to the wage subsidy may only be used for the employment of RAs and may not be allocated to cover other use.

(v) An unused amount subject to the wage subsidy may not be carried over to the following fiscal year.

(Example: If a plan to hire Person B as a RA in a project fully funded by a Research Grant for an annual total of 450,000 yen is requested, by combining the annual wage subsidy of 400,000 yen provided by the University, work and wages worth 850,000 yen per year become available. \*This system shall apply to students enrolled in FY2013.

## 6-11. KAKENHI Applicants Consultation Service

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At the Research Promotion Center, researchers with abundant experience as a grantee are engaged in proofreading of Research Proposal Documents in order to raise the KAKENHI adoption rate across the University. First-time applicants and young researchers whose project has not been adopted yet are encouraged to use this service. Those who would like to use this service should send a Research Proposal Document to the Research Support Section by email by the designated date.

## 6-12. Service of Access to Research Proposal Document for KAKENHI

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Researchers may review past adopted KAKENHI Research Proposal Documents for reference in preparing a document. First-time applicants and young researchers whose project has not been adopted yet are encouraged to use this service.

Those who would like to use this service should contact the Research Support Section. \*The service may not be available upon request.

## 6-13. Internal Financial Support Program for MEXT-supported Grant-in-aid for Improvement of Research Equipment of Private Universities and Other Academic Institutions

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The University allows its researchers to apply for MEXT-supported Grant-in-aid for Improvement of Research Equipment of Private Universities and Other Academic Institutions. However, given the cost shared by the University, the University shall internally screen candidates and if the application period is short, the University may not call for candidates.

### 1. Purpose

This grant-in-aid program aims to contribute to the promotion of science and education in Japan by providing partial financial aid, within the budget, for costs required to improve research equipment of private universities, educational infrastructure equipment of private universities, etc. and vocational schools, and research equipment for private universities and junior colleges to conduct private research branding project, for the purpose of promoting academic research at private universities, as well as unique education at private universities, junior colleges, colleges of technology and vocational schools.

### 2. Application types

#### (1) Research equipment

Machines, instruments, specimens, publications and other equipment necessary for basic scientific research professionally conducted by professors, associate professors and other research staff at private universities, which is valued at 5 million yen or more (or 1 million yen or more for publications) per unit or set.

#### (2) Educational infrastructure equipment

Computers and other information processing related equipment necessary for information processing education provided by private universities and other academic institutions, which is valued at 5 million yen or more per unit or per set (however, this shall not apply to only

installing devices necessary for viewing terrestrial digital broadcasting, excluding installation work).

### 3. Grant coverage

- (1) Research equipment  
No more than two-thirds of costs required to purchase equipment
- (2) Educational infrastructure equipment  
No more than one-half the costs required to purchase equipment

### 4. Application procedures

Announcement on this grant-in-aid program shall be made upon the announcement by MEXT on the call for proposals. The University's internal deadline and other related matters shall be announced as well at that time.

## 6-14. Internal Financial Support Program for PMAC-supported Science Research Promotion Fund

The University allows its researchers to apply for the Science Research Promotion Fund and the Young Researcher/Female Researcher Grants supported by the Promotion and Mutual Aid Corporation for Private Schools of Japan (PMAC). However, given the cost shared by the University, the University shall internally screen candidates and if the application period is short, the University may not call for candidates.

### 1. Purpose

This financial support shall be granted from operational gains of the Science Research Promotion Fund Program to cover expenses for obtaining and maintaining science research equipment and other costs necessary for science research at private universities and other academic institutions.

#### <1> Science Research Promotion Fund (\*as of FY2020)

- (1) Eligible research: Joint research conducted by two or more researchers belonging to private universities or other institutions (including research at a laboratory attached to a private university, etc.)
- (2) Eligible research fields: Research in humanity, social science and natural science
- (3) Funding period: For one year in principle.
- (4) Amounts of grants: 6 million yen for the natural science field and 3 million yen for other fields
- (5) Documents to be submitted: Research Proposal Document

#### <2> Young Researcher Grants (\*as of FY2020)

- (1) Research conducted solely by one researcher who is 39 years old or younger as of April 1, 2020 and in a position of assistant professor or post-doctoral fellow as of October 1, 2019.
- (2) A researcher of the said private university or other academic institution, and in principle:
  - ◇ An assistant professor who receives a full-time faculty member salary,
  - ◇ A post-doctoral fellow who is eligible for the additional amount of the subsidy for current expenditures to private institution of higher education, or
  - ◇ An instructor who receives a full-time faculty member salary and has been hired as an instructor by the said corporation for 10 years or less as of April 1, 2019.
- (3) A researcher who is not a grantee (including as a Co-Investigator) of the Grants-in-Aid for Scientific Research (including the Multi-year Funds), whether for a new or continued project, as of October 1, 2019
- (4) A researcher who is not a JSPS Fellows as of October 1, 2019
- (5) A researcher who has not been a grantee of the Young Researcher/Female Researcher Grants for the same research project

#### <3> Female Researcher Grants (\*as of FY2020)

- (1) Research conducted independently by a female researcher who is in a position of assistant professor or post-doctoral fellow as of October 1, 2019
- (2) A researcher of the said private university or other academic institution, and in principle:
  - ◇ An assistant professor who receives a full-time faculty member salary,

- ◇ A post-doctoral fellow who is eligible for the additional amount of the subsidy for current expenditures to private institution of higher education, or
- ◇ An instructor who receives a full-time faculty member salary and has been hired as an instructor by the said corporation for 10 years or less as of April 1, 2019.
- (3) A researcher who is not a grantee (including as a Co-Investigator) of the Grants-in-Aid for Scientific Research (including the Multi-year Funds), whether for a new or continued project, as of October 1, 2019
- (4) A researcher who is not a JSPS Fellows as of October 1, 2019
- (5) A researcher who has not been a grantee of the Young Researcher/Female Researcher Grants for the same research project

## 6-15. Publication Support for English Papers

As a measure to increase English scientific papers with the aim of promoting the international dissemination of research results, and thus contributing to the internationalization of the University's research activities, this program is to subsidize proofreading and translation fees and publication charges required when submitting a scientific paper in English to English journals.

- [Researcher Eligibility] Full-time faculty members, post-doctoral research fellows, graduate students
- [Expenses in Scope] Proofreading fees (Up to 60,000 yen per paper)  
Translation fees (Up to 100,000 yen per paper)  
Publication charges (only for journals indexed in Scopus) Full costs will be covered for papers submitted to journals ranked within Top 20% of CiteScore, and one-half of the costs will be covered for the rest.
- [Notes in Common]
- Submit original invoices and other evidence documents to each Faculty Office by the deadline described in this handbook. Attach a copy of this application form to them then.
  - A graduate student may make application subject to the approval and the seal of his/her supervising instructor.
  - Only applications made by a first author or a corresponding author shall be accepted.
  - As for a combined use, confirm whether it is the type of research fund that may be combined for use. Cannot be combined with the KAKENHI.
- [Proofreading, Translation Fees]
- Hiring an individual person for the service may not be covered.
  - With regard to copies of the paper, a copy of the version indicating a proofreading history in case of proofreading work, and copies of both the Japanese and English versions for the part in question in case of translation work must be submitted.
- [Publication Charges]
- Confirm with the list of Scopus journal titles that the status is "Active."  
URL <https://www.elsevier.com/ja-jp/solutions/scopus/content-overview>
  - Submit documents, etc. notifying of the publication decision of a journal to which the paper was submitted (a copy of a webpage, or email message is acceptable).
  - When making a request regarding a journal ranked within Top 20% of CiteScore, submit a copy of the webpage.
  - As to how to confirm, refer to the Scopus Quick Reference Guide.  
[https://www.elsevier.com/ja-jp/solutions/scopus/scopus\\_for\\_user](https://www.elsevier.com/ja-jp/solutions/scopus/scopus_for_user)
  - Ensure that the paper is published with the name of the University as the author's institution.
- \*For details, see the guidelines for applicants of the Publication Support for English Papers.

## Chapter 7 Research Ethics

### 7-1. Soka University Ethics for Human Research

The University requires various procedures to be taken before conducting research and survey activities



involving persons in accordance with Soka University Code of Ethics for Human Research.

## (1) Purpose

The purpose of this code is to enable persons who engage in research and survey activities involving human subjects inside and outside Soka University to contribute to the improvement of the credibility of such research and survey activities by stipulating the necessary matters when they act according to the spirit stated in the preamble of Soka University Code of Ethics for Human Research.

## (2) Matters under Review

Any research and survey involving human subjects inside and outside the University as conducted by faculty and staff members and by graduate students at the University as well as to any Research and Survey involving members of the University conducted by persons outside the University shall be subject to the review.

Provided, however, that this shall not apply to a case where research and survey conducted as a part of routine work such as education by faculty members of the University, administrative duties by administrative staff, etc.

You can confirm with the following website if your research is subject to the review.

<https://docs.google.com/forms/d/e/1FAIpQLSfQpMYMw0l8Hcnkr8w8xICAyjPv5c7wQZOqmtWepuOMGkeRvA/formResponse>

Research and survey of which the scheduled start date for research is on and after the first day of the month following a month of the application shall be subject to the review. If research has already started, an application may not be acceptable.

## (4) Application Deadline

The deadline for application shall be by noon of the 10th of the month preceding a month in which research is scheduled to start. The review shall be made at a time for all applications made in a month.

- [1] If the 10th falls on a Sunday or public holiday, an application must be made by noon of the preceding weekday.
- [2] No review will be performed in August in principle.
- [3] Unless the scheduled start date for research is on and after the first day of the month following a month of the application, the application may not be accepted.

## (5) Documents to be Submitted

Documents necessary for application are as follows:

- F01 IRB Application Form
- F02 Explanatory Form Sample
- F03 Informed Consent Form Sample
- Sample of question sheet or questionnaire
- F06 Permission to conduct a research Sample

\* If a survey is conducted at schools, medical institutions, etc., it is necessary to obtain the signature of the head of the facility on Permission to conduct a research Sample and submit the signed permission.

The above forms can be downloaded at the URL below:

<https://sokauniversity.app.box.com/v/IRBforms/folder/50496429329>

## (6) Submission Flow

- [1] Answer Ethics Review online questionnaire (Google Form).  
<https://forms.gle/Ps9eaCgQwAYXX5bH7>
- [2] Submit the application form and all other necessary documents in electronic form by email.  
Submit all electronic files of the application form and all other necessary documents by email to the secretariat.
  - \* The email address for submission will appear after you complete the questionnaire.
  - \* Submit the application form and all other necessary documents (explanatory form to human subjects, informed consent, interview questions, questionnaire questions, permission to the institution conducting research, etc.) in a PDF format online.
- [3] Submit two originals with your signature affixed to the Faculty Affairs Office.

## (7) Notice of Review Result

One of the following review results shall be notified by email by the end of the month in which the application is made.

- (i) Approval
- (ii) Conditional approval
- (iii) Continued review
- (iv) Non-approval

\* If conditional approval is given upon review, make necessary correction and submit corrected documents to the secretariat. Corrections will be confirmed by judges before the next review panel. If the application is formally approved, permission to start research will be given. Until then, it is not allowed to start research.

\* If continued review is given as a result of review, the application shall be subject to review again at the review panel in the following month or later. Unless approval is given, it is not allowed to start research.

## (8) Informed Consent

The researcher must provide clear explanations regarding the following items to human subjects in advance and obtain voluntary consent from them when conducting the research and survey.

- [1] The fact that participation in the research and survey is optional and human subjects will not suffer any disadvantage even in cases where they refuse to participate in the research and survey  
The fact that consent for participation in the research and survey may be revoked by human subjects at any time without any disadvantage
- [2] The meaning, purpose and method of the research and survey and the period necessary for participation
- [3] The reasons why human subjects are selected for the research and survey
- [4] The name and job title of the researcher
- [5] Possible risks, dangers or unpleasant situations in the research and survey
- [6] Possible benefits for human subjects and society generated by participating in the research and survey
- [7] Regarding handling of personal information (a method for confidentiality, retention period, etc.)
- [8] Contact information for inquiries on the research and survey and for the contact point for complaints, etc.
- [9] Possibility of any public announcement regarding the result of the research and survey
- [10] The fact that human subjects will receive copies of explanatory form for participation in the research and survey and letters of consent

\* The Researcher must obtain a consent from the human subjects to participate in the research and survey by signing informed consent items prescribed in the preceding paragraph or expressing their intention by actions equivalent to signatures.

\* In the event that the Review Board for Human Research deems the research and survey to fall under any of the following items, exemption or approval for proxy consent shall be accepted for all or part of the items prescribed in the paragraph (8).

- (i) Cases in which the research and survey is conducted to the extent that risks for human subjects are minimized (any risks must be socially acceptable and within the normal limits of physical, mental or social acceptability in their daily life.)
- (ii) Cases in which exemption from informed consent or approval for proxy consent does not cause disadvantage to the rights and welfare of human subjects.
- (iii) Cases in which the Research and Survey is not able to be continued without exemption from informed consent or approval for proxy consent. However, in this case, human subjects will receive information related to the research and survey after participating therein.

## (9) Public Announcement of Results

When the Researcher makes a public announcement of the result of the research and survey, not only a plan for the implementation of the research and survey but also a plan for the public announcement must be approved by the Review Board for Human Research in advance.

(10) Contact

If you have any questions regarding ethics for human research, please refer to the following website and contact the Faculty Affairs Office at [researchmanagement@soka.ac.jp](mailto:researchmanagement@soka.ac.jp).  
<https://www.soka.ac.jp/research/center/ethics/review>

## 7-2. Animal Experiments

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The University requires various procedures to be taken before conducting animal experiments in accordance with Soka University Regulations on Animal Experiments.

(1) Purpose

These regulations are to encourage researchers to comply with “Ministry of Education, Culture, Sports, Science and Technology, Notice No. 71 (established on June 1, 2006)” in planning and conducting animal experiments and ensure that animal experiments are conducted properly from the standpoints of both the scientific rationale and the welfare of the animal.

(2) Development of Animal Experiment Protocol

A Principal Investigator must comply with the following items in planning an animal experiment protocol, transporting the animal and other relevant matters.

- [1] The Principal Investigator must give consideration to restrict the animal experiment to the minimum required for the purpose of education and research. In addition, efforts should be made to replace laboratory animals with other research materials where possible.
- [2] When using laboratory animals, it is necessary, at the stage of planning, to give full consideration to such matters as the selection of species, strain, and number of laboratory animals, the genetic and microbiological quality, the obtaining method, the rearing conditions and the method of the experiment, which will determine the accuracy and reproducibility of the results of the experiment. In particular with regard to the microbiological quality, it is required to follow the instructions of the committee in order to prevent inconsistencies of the results of the experiment, and the spread of infections to animals in the surrounding area and experiment researchers.
- [3] An animal experiment researcher must employ methods which cause as little pain and distress as possible to the laboratory animals. (Refer to Categories of Biomedical Experiments Based on Increasing Ethical Concerns for Non-human Species issued by the Scientists Center for Animal Welfare [SCAW])
- [4] When carrying laboratory animals in the facility, it is necessary to implement appropriate quarantine as required. As for experiments in which considerable pain and/or distress of laboratory animals are anticipated, it is necessary to consider defining humane endpoints (timings of killing the animal humanely).
- [5] In case of killing used laboratory animals upon early termination of, or at the end of the experiment, it is necessary to kill laboratory animals humanely by using techniques to reduce pain and distress to them.

(3) Notification of experiment protocol

The Principal Investigator must submit the notification of the research theme, the research plan and other necessary matters to the committee in the form as separately designated before the experiment.

(4) Contact

Contact the General Affairs Office of Faculty of Science and Engineering Office for consultation about animal experiments.

## 7-3. Life Science Ethics (Human Genome, etc.)

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(1) Purpose

The University aims to respect human dignity and human rights and conduct useful research that contributes widely to society by stipulating the handling of research or development of medical technology involving human subjects (“Research”) in accordance with the Declaration of Helsinki (as revised in the 52nd Meeting of the World Medical Association, Edinburgh, the U.K. in October 2000), the Ethical Guideline for Human

Genome/Genetic Analysis Studies (MEXT, MHLW, METI Notification, No. 1, in 2004; “Guidelines for Human Genome Analysis”), and Guidelines on the Utilization of Human Embryonic Stem Cells (Public Notice of MEXT No.87, on May 20, 2010; “Guidelines for ES Cells”).

(2) Responsibilities of a person responsible for research

When conducting the Research, a person responsible for research shall be appointed for each research plan.

- The person responsible for research shall prepare a research plan and have it approved by the dean of the Faculty of Science and Engineering before conducting the Research. The same shall apply when intending to change the research plan.
- The person responsible for research shall report on the implementation status of the Research to the dean of the Faculty of Science and Engineering regularly, at least once a year.
- The person responsible for research shall comply with the Guidelines for Human Genome Analysis or the Guidelines for ES Cells and these regulations in developing and implementing the research plan, and engage in appropriate management and supervision of the Research.

(3) Application Procedures

A researcher who intends to apply for review must fill in necessary matters in the designated application form (Attachment F01) and submit it to the chairperson.

(4) Contact

Contact the General Affairs Office of Faculty of Science and Engineering Office for consultation about animal experiments.

## 7-4. Conflict of Interest Management

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If you receive public research funds that require conflict of interest management, you will need to submit a declaration form. For details, contact Research Support Section.

# Chapter 8 Measures for Security Trade Control and Convention on Biological Diversity

## 8-1. Security Trade Control System

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As international activities at the University are increasing due to adoptions of global projects and large-scale research projects with foreign universities, it is becoming indispensable to establish a system to confirm whether or not there is any concern from the perspective of the compliance with the Foreign Exchange and Foreign Trade Law and relevant laws and regulations. Under the Foreign Exchange and Foreign Trade Law, not only individuals involved in violating act but also corporations may be subject to penalties, and this poses great risk to organizations.

With this in mind, since FY2015, the University has had a system for security trade control in place by setting up the Security Trade Control Committee and formulating Regulations on Security Trade Control. From FY 2023 onwards, the Committee added changes on the procedures regarding the security trade control because the government rules became strict.

- Until FY 2022, faculties do not have to report or submit any forms to Soka University as long as they do self-check using the pre-screening sheet and find out there are no issues. However, faculties must do self-check using the pre-screening sheet and submit it to the office in charge in any cases so that staff can double check.
- Considering the effectiveness of the risk management, faculties must follow the guideline procedures depending on which department they belong; Faculties of the Science and Engineering (incl. graduate school and research centers) need to submit a new form and a double check by staff. Other faculties need to do self-check and consult with staff in accordance with each situation.
- About accommodating international students from overseas, international students belong to the Faculty of the Science and Engineering (incl. graduate school and research centers) need to submit the pre-screening form and pledge to the office of the Science and Engineering before arriving in Japan.

- About accommodating international faculties from overseas, international faculties belong to the Faculty of the Science and Engineering (incl. graduate school and research centers) need to submit the pre-screening form and pledge to the Office of the Science and Engineering before arriving in Japan.
- Faculties/students need to submit “Screening Form” and “Classification Form” in accordance with the result of above procedures.

## 8-2. Necessary Procedures for Security Trade Control

### 【1】 When faculties and staff provides skills and technologies, or exports goods to overseas:

(e.g. a joint research, contracted research, conference (incl. online), overseas business trip)

#### ① Faculty of Science and Engineering [incl. graduate school and research center]

- You must submit the **【Form 1-2】 “The Pre-screening Sheet to Transfer Technologies\_Export Goods (for the Faculty of Science and Engineering)”** to The Office of Science and Engineering at least 30 days before you start to provide or export skills/technologies/goods to counterparts (incl. overseas business trips).
- If you need a transaction screening, you must submit the **【Form 3, 4, and 5】** in addition to the Form 1-2.

#### ② Other faculties

- You must do self-check by using the **【Form 1-1】 “The Pre-screening Sheet”** at least 30 days before you provide or export skills/technologies/goods to counterparts.
- You do not have to submit any documents if there are any problems on the pre-screening check procedures above.
- If you have any concerns, you must fill out the **【Form 1-2】 “The Pre-screening Sheet to Transfer Technologies\_Export Goods (for the Faculty of Science and Engineering)”** and submit it to The Research Support Office. (The office might require you to submit **【Form 3, 4, and 5】** in addition to the Form 1-2.)

### 【2】 When faculties and staff accommodate “international students” from overseas:

#### ① Graduate School of Science and Engineering

- A faculty in charge of accommodating the international student must fill out the **【Form1-3】 “Pre-screening Sheet for Accepting Specific-category Persons (Students, Researchers, Teachers, and Visitors except Foreigners)”** and submit it to The Office of Science and Engineering before the international students arrive in Japan.
- An international student must fill out the **【Form 2-1】 “Pledge form\_before coming to Soka”** and email it to The Office of Science and Engineering as PDF data before arriving in Japan. After arriving on campus, he/she must submit its original as hard copy to the office.
- If international students need transaction screening, he/she must submit the **【Form 3, 4, and 5】** in addition to the Form 1-2.
- When international students return to home country after completing their study at Soka University, they must fill out and submit the **【Form 2-2】 “Pledge form\_before leaving Soka”** to the Office of Science and Engineering. (The Office of Science and Engineering must keep the original as hard-copy and submit its PDF data to The Research Support Office)

#### ② Other faculties

No necessary to submit any forms incl. a pre-screening sheet or pledge.

### 【3】 When accommodating “international researchers” from overseas:

#### ① Faculty of Science and Engineering [incl. graduate school and research center]

- A Soka University faculty in charge of accommodating the international researchers from overseas



must fill out the **【Form 1-3】** "Pre-screening Sheet for Accepting Foreigners (International Students, Researchers, Teachers, Visitors)" and submit it to the Global Core Center (GCC) before he/she initiate an internal process to accommodate international researchers from overseas.

- If a Soka University faculty needs the transaction screening, he/she must submit **【Form 3, 4, and 5】** to GCC.
- After completing all procedures above, a Soka University faculty can submit a request letter of accommodating international researchers from overseas to the Global Core Center Meeting.
- International researchers must email the completed **【Form 2-1】** "Pledge form\_before coming to Soka" as PDF data to a Soka University faculty in charge 30 days before their arrival. After arriving in Japan, the international faculty must submit its original copy to the Soka University faculty in charge.
- A Soka University faculty in charge must submit the PDF data of Form 2-1 to GCC on behalf of an international researchers from overseas.
- After an international researchers from overseas arrive in Japan, he/she must submit the original of the form 2-1 to the Soka University faculty in charge. The Soka University faculty in charge must submit it to GCC.
- When an international researcher return to home country after completing a research at Soka University, they must fill out and submit the **【Form 2-2】** "Pledge form\_before leaving Soka" to a Soka University faculty in charge. A Soka University faculty in charge must submit it to GCC. (GCC must keep the original, and submit its PDF data to The Office of Science and Engineering and The Research Support Office.)

## ② Other faculties

No necessary to submit any forms incl. a pre-screening sheet or pledge.

\*If it is subject to the laws and regulations, the business may be executed with the permission of METI, but it may take more than one month to complete the whole procedures. Confirm well in advance.

\*For details, refer to "Guidance for Management of Sensitive Technologies Related to Security Trade (for Universities and Research Institutions)."

## 8-3. Response to Convention on Biological Diversity

On August 20, 2017, Japan became a party to the Nagoya Protocol, and at the same time the "Guidelines on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization (ABS Guidelines)" took effect as its domestic measures. To abide by these guidelines, the University will ensure that researchers will confirm laws and regulations of a country from which genetic resources come from and take procedures in accordance with the ABS Guidelines each time before using or exporting genetic resources from overseas in such ways as collecting or exporting by themselves, importing to Japan by a foreign student, and purchasing and receiving from a party in a foreign country.

[Reference] ABS Support Team for Academia, National Institute of Genetics [http://nig-chizai.sakura.ne.jp/abs\\_tft/](http://nig-chizai.sakura.ne.jp/abs_tft/)

## Chapter 9 Faculty Member's Achievements

### 9-1. Publication of Achievements

In accordance with the Ministerial Order (April 1, 2011) on the partial revision of the Order for Enforcement of the School Education Act and relevant regulations, since 2011 the University has disclosed the "Researcher Information System" which lists information on educational research activities, etc. by faculty members.

It is a mandatory for full-time faculty members to get registered to this database. Register and update necessary information.

[Where to Find Information]

創価大学ホームページ TOP 画面 (Soka University website top page)→"教育情報の公表

(disclosure of information on education)”→

「教育組織、教員数、各教員が有する学位・業績 (educational organization, number of faculty members, degree and achievements of each faculty member)」→”Researchers Information System”

○ URL

<https://fpes.soka.ac.jp/>

## 9-2. Disclosure Setting

To disclose the information on the Researchers Information System, use “教員業績登録システム (faculty member achievements registration system).” After entering the following four required items on “公開情報保守 (disclosed information maintenance)” of this system, the data will be disclosed on the website (above).

[Registration Method]

Soka University Portal Site PLAS → log in →

“教員業績登録 (faculty member achievements registration)” of “利用メニュー (service menu)” on the left-hand side of the page → “教員業績登録システム (faculty member achievements registration system)” → Register the following four items with “公開情報保守 (disclosed information maintenance)” of the menu.

[Required Items]

(i) Basic information, (ii) List of research fields, (iii) List of research themes, (iv) Educational background

\* Updates will be reflected on the Researchers Information System on the following day of the registration.

## 9-3. Registration and Update

Use “教員業績登録システム (faculty member achievements registration system)” to register your achievements. Register the achievements in the relevant fiscal year by the year end.

[Registration Method]

Soka University Portal Site PLAS → log in →

“教員業績登録 (faculty member achievements registration)” of “利用メニュー (service menu)” on the left-hand side of the page → “教員業績登録システム (faculty member achievements registration system)” → Register and update information with “業績登録 (achievements registration)” of the menu.

## Chapter 10 Related Documents

### 10-1. e-Rad Registration and Registration Transfer

A researcher of domestic research institution who applies for public research funds, such as KAKENHI, must be registered to the Cross-Ministerial Research and Development Management System (e-Rad) to get a researcher number issued. To get registered, take the following steps:

<1> Steps to acquire researcher number, as well as ID and password

(1) Researcher with his/her researcher number issued

Let the University know the following data, so that the staff will change the data on your affiliated institution.

(i) Researcher number, (ii) How to read researcher's name, and (iii) Date of birth

If you do not remember your researcher number, ask the former research institution.

If you cannot make entries with e-Rad with your ID and password, contact the Research Support Section. The staff will update the data.

- (2) Researcher with no researcher number issued yet  
Share the following data with the University, so that the staff will take care of the registration:  
(i) Name (in Japanese kanji and katakana, and English), (ii) Date of birth, (iii) Degree (Doctor, Master, Bachelor, etc.), (iv) Date of degree completion, (v) Two email addresses (one given by the University and personal address), and (vi) Phone number (personal mobile phone number is acceptable)  
We will let you know how to get ID and password to access e-Rad at the time of application.

## <2> Researcher transferring to another institution (or university)

For researchers who will transfer to another institution, their affiliated institutions will be changed with e-Rad. The University will take procedures for retirement, and then the institution to which the researcher transfers will take procedures for registration using the succeeded researcher number.

- (1) Procedures at the University  
As soon as an institution to which the researcher transfers is determined, inform the Research Support Section thereof.
- (2) Procedures at new institution  
As soon as the researcher assumes the post at another institution, make a request for the registration to e-Rad to the department in charge of administration of e-Rad.

## 10-2. Warning against Predatory Journals

As open access journals have increased recently, many researchers have concerns about poor-quality journals that carry papers without offering proper peer review in a bid to exploit publication fees from authors (so-called predatory journals).

Once papers are submitted to such predatory journals, researchers will be charged unjust publication fees, it will be difficult to withdraw articles and submit to other journals. This could have significant negative impact on research activities and cause the trust and reputation of authors. Such publications use various tricks to deceive authors, such as sending emails directly to researchers to invite them to submit a paper, and fooling by a name that sounded like a reputable journal.

Researchers should give careful considerations on where to send their papers and be cautious not to submit them to such predatory journal.

If you have difficulties in deciding whether a journal is authentic or not, see the following checklist for your reference.

### [Reference Materials]

- Think. Check. Submit.  
<http://thinkchecksubmit.org/translations/japanese/>
- DOAJ (Directory of Open Access Journals)  
<https://doaj.org/>
- Quality Open Access Market (QOAM)  
<https://www.qoam.eu/journals>

### [Checklist]

No.	Items to be confirmed	Confirmed
1	Do you and your colleagues know about that journal? -Is it a journal highly reputed by your affiliated society and the like? -Have you read any articles in the journal before? -Is it easy to discover the latest papers on that journal? -Is it a journal highly reputed by your affiliated society and the like? -Is that journal listed by Scopus or Web of Science?	□

2	Is it easy to find the contact information of that publisher? -Is the publisher name clearly displayed on the journal website? -Can you contact that publisher by telephone, email, and post?	<input type="checkbox"/>
3	Is the journal clear about the type of peer review it uses?	<input type="checkbox"/>
4	Is your paper properly indexed in the service you choose?	<input type="checkbox"/>
5	Is it clear what fees will be charged? -Does the journal site explain what these fees are for and when they will be charged?	<input type="checkbox"/>
6	Is an editorial board in place? -Have you ever heard of anything about editorial staff? -Have editorial staff posted anything about that journal on their own website?	<input type="checkbox"/>
7	Does that publisher participate in any organization or initiative in the publishing and research industry? Is that publisher a member of Committee on Publication Ethics (COPE)? -If the journal is open access, is it listed in the Directory of Open Access Journals (DOAJ)? -If the publisher offers an open access option, does the publisher belong to the Open Access Scholarly Publishers' Association (OASPA)? -Is the journal hosted on one of the Journals Online platforms of International Network for the Availability of Scientific Publications (INASP, for journals published in Bangladesh, Nepal, Sri Lanka, Central America and Mongolia) or on African Journals Online (AJOL, for African journals)? -Is that publisher a member of another trade association?	<input type="checkbox"/>

(The list was prepared based on the checklist of Think. Check. Submit.)

## 10-3. Integration of Operation of Effort Management

Soka University Guidelines for Operation of Effort Management in Case of Personnel Costs for Researchers Paid from Direct Expenses of Competitive Funding Programs

January 1, 2022

(Purpose)

Article 1. These Guidelines set forth matters necessary for the operation, etc. of Effort management in case of paying personnel costs for researchers with the direct expenses of competitive funds at Soka University based on Regarding Integration of Operation of Effort Management (the March 31, 2020 arrangement of funding agencies and responsible ministries).

(Programs in Scope)

Article 2. The scope of the operation, etc. of Effort management subject to these Guidelines shall be each of the competitive programs sponsored by the following funding agencies:

- (1) Japan Agency for Medical Research and Development (AMED),
- (2) Japan Science and Technology Agency (JST),
- (3) Japan Society for the Promotion of Science (JSPS),
- (4) Bio-oriented Technology Research Advancement Institution (BRAIN), and
- (5) New Energy and Industrial Technology Development Organization (NEDO).

(Definitions)

Article 3. For the purpose of these Guidelines, the terms listed in the following items shall have the following meanings:

- (1) The term “Principal Investigator” means any person responsible for executing their research plan as a Principal Investigator or a Co-Investigator of competitive funding program sponsored by funding agencies set forth in Article 2.
- (2) The term “Researcher” means any of faculty members set forth in Soka University Regulations on Contract Faculty Members, post-doctoral research fellows set forth in Soka University Regulations on Post-doctoral Research Fellows, and research assistants set forth in Soka University Regulations on Research Assistants.
- (3) The term “Effort” means the value obtained by dividing the number of hours the Researcher worked for a project for which his/her personnel cost is paid with the direct expenses, by his/her total number of work hours of the relevant year.

(Preparation and Submission of Documents for Effort Management)

Article 4. The Principal Investigator must prepare documents for Effort management listed in the following items at the time when receiving competitive funds including personnel cost of the Researcher and when reporting research achievement at each stage to the head of the Research Promotion Center by the designated date.

(1) Before the Start of the Employment

- Certificate of Effort (within two weeks before the submission deadline designated by a funding agency)

(2) At the Start of the Employment

- Declaration of Effort (no later than two weeks before the start of the employment)

(3) During the Employment

- Report on Working State (no later than two weeks before the end of each semester)

(4) After the End of the Employment

- Report on Effort (within three months after the end of employment)

2. The Principal Investigator shall prepare and retain evidence data (such as attendance records) that can be used as a proof of the documents for Effort management specified under the items of the preceding paragraph, and submit such data at the request of the head of the Research Promotion Center.

(Miscellaneous Rules)

Article 5. Any matter necessary for the operation of Effort management other than the provisions of these Guidelines shall be separately determined.

Supplementary Provision

These Guidelines shall come into effect on January 1, 2022 and apply beginning on September 1, 2020.

## **10-4. Self-motivated Research Activities by Young Researchers Employed to Implement Projects with Competitive Research Funds**

Soka University Guidelines for Implementation of Self-motivated Research Activities by Young Researchers Employed with Competitive Research Funds

January 1, 2022

(Purpose)

Article 1. These Guidelines set forth necessary matters with regard to activities that contribute to self-motivated research activities at Soka University by young researchers employed with competitive research funds as part of their effort and improvement of their research and management skills (“Self-motivated Research Activities”) based on the Implementation Policy for Self-motivated Research Activities by Young Researchers Employed with Competitive Funds to Implement Projects (the February 12, 2020 arrangement at the related ministries liaison meeting regarding competitive funding).

(Purpose)

Article 2. By setting forth matters necessary for implementation of young researchers’ self-motivated research activities, etc., these Guidelines aim to enable young researchers to allocate a part of their effort to their own research activities and other activities to improve their research and management skills and thereby contribute to the development of scientific research of the University.

(Projects in Scope)

Article 3. These Guidelines apply to projects supported by competitive funding programs sponsored by ministries.

(Eligible Young Researchers)

Article 4. A young researcher allowed to implement self-motivated research activities, etc. must satisfy all



of the followings:

- (1) A person who is employed with personnel cost of a project to implement the project (except when being employed by a Principal Investigator or Co-Investigator of a project (“Principal Investigator”) by using their own personnel cost of the project);
  - (2) A person aged 39 or younger (except when a funding agency separately determines a different requirement according to the characteristics of a funding program.); and
  - (3) A person whose duty includes research activities.
2. If a competitive funding program sets any condition other than the preceding paragraph for eligible persons, the provisions of the program shall apply.

(Requirements)

Article 5. In order to conduct self-motivated research activities, etc., a young researcher is required to satisfy all of the following requirements:

- (1) A young researcher himself/herself desires to conduct self-motivated research activities, etc.;
- (2) The Principal Investigator acknowledges that the activities are self-motivated research activities, etc. that contributes to the promotion of the project; and
- (3) The Principal Investigator acknowledges that the activities are within the range that does not hinder the promotion of the project. (A young researcher may allocate up to 20% of his/her total effort in the project to his/her self-motivated research activities, etc.)

(Application)

Article 6. A young researcher who desires to conduct self-motivated research activities, etc. shall consult with the Principal Investigator of the project about the content, etc. of the activities and, if the content, etc. of the activities is deemed appropriate by the Principal Investigator in light of implementation conditions, submit the approval request form to the head of the Research Promotion Center.

2. The head of the Research Promotion Center shall determine whether to approve the implementation of the self-motivated research activities, etc. requested by the person pursuant to the preceding paragraph.

3. The head of the Research Promotion Center shall promptly notify the Principal Investigator of the results of the request pursuant to the preceding paragraph in writing, and report to the President.

(Change)

Article 7. A young researcher who desires to change the self-motivated research activities, etc. that has been already approved pursuant to the preceding article shall consult with the Principal Investigator about the content of the change and, if the content of the change is deemed appropriate by the Principal Investigator in light of implementation conditions, submit the change approval request form to the head of the Research Promotion Center.

2. The head of the Research Promotion Center shall determine whether to approve the change to the self-motivated research activities, etc. as requested by the person pursuant to the preceding paragraph.

3. The head of the Research Promotion Center shall promptly notify the Principal Investigator of the results of the request pursuant to the preceding paragraph in writing, and report to the President.

(Activity Report)

Article 8. A young researcher shall report the content, etc. of the activities to the Principal Investigator at the end of each fiscal year during the period the researcher works on self-motivated research activities, etc. and at the end of the period, and then the Principal Investigator shall report to the head of the Research Promotion Center thereon by submitting the activity report.

2. The head of the Research Promotion Center shall submit the content, etc. of the activities to the President following the report pursuant to the preceding paragraph.

(Withholding of Approval)

Article 9. The head of the Research Promotion Center may withhold the approval through consultation with the President if it is confirmed that approved self-motivated research activities, etc. are different from the implementation requirements and the activities specified in the approval request form.

(Support for Activities)

Article 10. 1. As for self-motivated research activities, etc. by a young researcher, the Principal Investigator shall monitor the implementation status and provide support as necessary and give advice to help the

researcher conduct the research activities, etc. appropriately.

2. As for hours for self-motivated research activities, etc., a young researcher shall draw up and follow a schedule under the instruction of the Principal Investigator.

(Effort Management)

Article 11. Effort of a researcher engaged in self-motivated research activities, etc. shall be managed with the activity status management table.

(Miscellaneous Rules)

Article 12. Any matter necessary for the implementation of self-motivated research activities, etc. other than the provisions of these Guidelines shall be separately determined.

Supplementary Provision

These Guidelines shall come into effect on January 1, 2022 and apply beginning on September 1, 2020.

## 10-5. Utilization of Database

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It is helpful to utilize databases to obtain necessary information in conducting research. At the University, a number of databases are available on the Central Library website.

◆ Central Library Databases

URL : [http://lib.soka.ac.jp/db\\_link/](http://lib.soka.ac.jp/db_link/)

The following open databases are useful in preparing KAKENHI Research Proposal Document. Please make use of them.

## 10-6. Materials Regarding Research Integrity and Compliance

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Currently, MEXT and other ministries have announced guidelines and arrangements for research integrity. The University complies with these guidelines and is committed to the development of the research environment where researchers can work, feeling safer and more secure.

### 1. Guidelines

- (1) Guidelines for Response, etc. to Misconduct in Research Activities  
(Decision of the Minister of Education, Culture, Sports, Science and Technology, August 26, 2014)  
[http://www.mext.go.jp/b\\_menu/houdou/26/08/\\_icsFiles/afieldfile/2014/08/26/1351568\\_02\\_1.pdf](http://www.mext.go.jp/b_menu/houdou/26/08/_icsFiles/afieldfile/2014/08/26/1351568_02_1.pdf)
- (2) Guidelines for Management and Audit of Public Research Funds at Research Institutions (Practice Standards)  
(Revised on February 18, 2014)  
[http://www.mext.go.jp/component/a\\_menu/science/detail/\\_icsFiles/afieldfile/2014/03/18/1343906\\_02.pdf](http://www.mext.go.jp/component/a_menu/science/detail/_icsFiles/afieldfile/2014/03/18/1343906_02.pdf)

### 2. Compliance Education Teaching Material (for Researchers)

[Video]

<https://www.youtube.com/watch?v=QAKDSc8rV6s&list=PLGpGsGZ3lmbBG5YBlv3MsFkz-HVZ-YNXh&index=2>

[For printing]

[http://www.mext.go.jp/component/a\\_menu/science/detail/\\_icsFiles/afieldfile/2014/08/05/1350202\\_2.pdf](http://www.mext.go.jp/component/a_menu/science/detail/_icsFiles/afieldfile/2014/08/05/1350202_2.pdf)

### 3. List of Misconduct Cases (Disclosed by MEXT)

- (1) Misconduct Cases in Research Activities  
[http://www.mext.go.jp/a\\_menu/jinzai/fusei/1360839.htm](http://www.mext.go.jp/a_menu/jinzai/fusei/1360839.htm)

- (2) Misuse Cases at Research Institutions  
[http://www.mext.go.jp/a\\_menu/kansa/houkoku/1364929.htm](http://www.mext.go.jp/a_menu/kansa/houkoku/1364929.htm)  
\*Status of disciplinary actions related to application and participation eligibility restrictions, etc. (misuse cases)  
[http://www.mext.go.jp/a\\_menu/kansa/houkoku/1364931.htm](http://www.mext.go.jp/a_menu/kansa/houkoku/1364931.htm)
4. “For the Sound Development of Science -The Attitude of a Conscientious Scientist-”  
Edited by JSPS “For the Sound Development of Science” Editorial Board  
(Japanese version)<http://www.jsps.go.jp/j-kousei/data/rinri.pdf>  
(English version)[http://www.jsps.go.jp/j-kousei/data/rinri\\_e.pdf](http://www.jsps.go.jp/j-kousei/data/rinri_e.pdf)
5. Statement: Code of Conduct for Scientists (Jan. 25, 2013, Science Council of Japan (SCJ))  
<http://www.scj.go.jp/ja/info/kohyo/pdf/kohyo-22-s168-1.pdf>
6. (Response) Improving soundness in scientific research (March 6, 2015, Science Council of Japan)  
<http://www.scj.go.jp/ja/info/kohyo/pdf/kohyo-23-k150306.pdf>
7. Addressing Research Misconduct  
September 19, 2014, Council for Science, Technology and Innovation, Cabinet Office)  
[http://www8.cao.go.jp/cstp/output/iken140919\\_3.pdf#zoom=75](http://www8.cao.go.jp/cstp/output/iken140919_3.pdf#zoom=75)
8. Cabinet Office-Related
  - (1) Guidelines for Appropriate Execution of Competitive Funding (Revised on October 17, 2012)  
<http://www8.cao.go.jp/cstp/compfund/shishin1.pdf>
  - (2) Standardization of Spending Rules, etc of Competitive Funding (March 31, 2015)  
<http://www8.cao.go.jp/cstp/compfund/siyouruuru.pdf>
  - (3) Common Inter-ministry Guidelines for Execution of Indirect Expenses of Competitive Funding (Revised on May 29, 2014)  
<http://www8.cao.go.jp/cstp/compfund/shishin2.pdf>
9. Japan Science and Technology Agency-Related
  - (1) Video teaching materials for education on research ethics  
<http://lab.jst.go.jp/index.html>
  - (2) For researchers - Prevention of Misconduct in Research Activities -  
[http://www.jst.go.jp/researchintegrity/shiryo/pamph\\_for\\_researcher.pdf#zoom=75](http://www.jst.go.jp/researchintegrity/shiryo/pamph_for_researcher.pdf#zoom=75)
  - (3) Misuse, etc. of Research Funds  
[http://www.jst.go.jp/researchintegrity/shiryo/pamph\\_iniquity.pdf#zoom=75](http://www.jst.go.jp/researchintegrity/shiryo/pamph_iniquity.pdf#zoom=75)
10. Ministry of Economy, Trade and Industry-Related
  - (1) Guidelines for Handling of Misconduct in Research Activities (Revised and Finalized on January 15, 2015)  
[http://www.meti.go.jp/policy/economy/gijutsu\\_kakushin/innovation\\_policy/pdf/150115shishin-kenkyufusei.pdf](http://www.meti.go.jp/policy/economy/gijutsu_kakushin/innovation_policy/pdf/150115shishin-kenkyufusei.pdf)
  - (2) For Prevention of Research-related Misconduct and Misuse of Research Funds (May 2015)  
[http://www.meti.go.jp/policy/economy/gijutsu\\_kakushin/innovation\\_policy/pdf/150526\\_kenkyufusei\\_kyozai.pdf](http://www.meti.go.jp/policy/economy/gijutsu_kakushin/innovation_policy/pdf/150526_kenkyufusei_kyozai.pdf)
11. Science Council of Japan, the Japan Association of National Universities, the Japan Association of Public Universities, Federation of Japanese Private Colleges and Universities Associations
  - Joint Statement for Enhancing the Integrity of Scientific Research (December 11, 2014)  
<http://www.scj.go.jp/kohyo-23-261211.pdf#zoom=75>
12. The Association for the Promotion of Research Integrity (APRIN)  
<https://www.aprin.or.jp/>

## 10-7. List of Research-related Internal Regulations

Category	Regulations and rules
Prevention of misuse of research funds	Soka University Regulations on Prevention of Misuse of Public Research Funds Soka University Plan for Prevention of Misuse of Research Funds Soka University Code of Conduct for All Members Involved in Operation and Management of Competitive Funding, etc. Soka University Regulations on Business Suspension, etc.
Prevention of misconduct in research activities	Soka University Regulations on Prevention of Misconduct in Research Activities
Research-related reporting and whistle-blowing	Soka University Detailed Rules for Reporting and Whistleblowing for Misconduct Regarding Public Research Funds and Research Activities
Research ethics	Soka University Code of Ethics for Human Research Soka University Detailed Rules Regarding Ethics Review Procedure for Human Research Soka University Campus Harassment Prevention Guidelines Soka University Conflict of Interest Management Policy Soka University Regulations on Conflict of Interest Management
Internal research funds	Soka University Regulations on Research Funds for Individual Researchers
Research promotion system	Soka University Regulations on Promotion of Teachers' Research and Development Soka University Regulations on Overseas Researchers Soka University Regulations on Research Fellows
Research funds granted by external organizations	Soka University Detailed Rules Regarding Accounting Administration of Grants-in-Aid for Scientific Research Soka University Internal Rules for Advance Payment of Public Research Funds Soka University Internal Rules for the Internal Handling of Science Research Promotion Fund Soka University Regulations on Handling of Contracted Research Soka University Regulations on Handling of Research Grant
Grants-in-aid	Soka University Internal Rules for Internal Application for MEXT-Supported Program for the Strategic Research Foundation at Private Universities Soka University Internal Rules for Internal Application for MEXT-supported Grant-in-aid for Improvement of Research Equipment of Private Universities and Other Academic Institutions
Official travels	Soka University Regulations on Official Travel for Faculty Members Soka University Regulations on Travel Expenses for Faculty Members
Purchasing	Soka University Purchase Regulations Soka University Faculty of Science and Engineering Regulations on Laboratory Consumables
Publications	Soka University Regulations on Management of Laboratory Library
Security trade control	Soka University Regulations on Security Trade Control

Other matters	<p>Soka University Internal Rules for Acceptance of Meeting Venue for Academic Societies, etc.</p> <p>Soka University Rules of Employment for Faculty Members</p> <p>Soka University Accounting Regulations</p> <p>Soka University Regulations on Payment of Honoraria and Other Rewards</p> <p>Soka University Regulations on Business Suspension, etc.</p> <p>Soka University Regulations on Employment and Wages of Part-timers</p>
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\* If you would like to access these regulations, contact the Faculty Office or the Faculty Affairs Office.

## 10-8. Research Funds and Salary Income (According to the Commissioner of the National Tax Agency Notice)

The Commissioner of the National Tax Agency Notice stipulates that “expenses that should be paid by the university” and “expenses necessary for investigating research subjects given by the university or those selected by the Professors” shall be deducted from the salary income of the Professor and the like, and that research fund does not fall under the category of salary income.

In accordance with this, **researchers must confirm the scope of use of research fund on Page 29 to ensure appropriate execution of research funds. Please note that if it is ruled that the spending of research funds is not appropriate, the research fund may be categorized as taxable salary income.**

**If a researcher is required by the dean or the Faculty Office to submit a statement of reasons or the like about research funds, submit it promptly. If it is ruled that it is not deemed as necessary expenses for conducting research, or appropriate for use of research funds, the researcher may have to pay the expenses.**



Chokusho 2-59  
August 20, 1958

To Directors of the Regional Taxation Bureau

The Commissioner of the National Tax Agency

## Regarding the Treatment of Research Funds, etc. Provided to University Professors

Regarding income tax to be imposed on research funds, financial aids for publishing, monetary awards and other grants provided to professors, assistant professors, lecturers, assistants and the like who work for a university ("Professors") by the university, the following rules shall apply:

### Description

1 Expenses paid annually or monthly under the name of individual research expenses, special research expenses, research miscellaneous expenses, research expenses subsidies or the like and according to status or qualifications of a Professor shall be categorized as salary incomes of the Professor, except when it is recognized that the expenses that should be paid by the university were paid by the Professor instead, such as cases where the details of the expenses were collected by the university from the Professor, and all the articles related to the purchase belong to the university.

2 The treatment of research grants that are provided in advance as expenses necessary for investigating research subjects given by the university or those selected by the Professor shall be subject to the item 1 above.

3 Financial aids for publishing and the like provided by the university when a Professor, etc. intends to publish his/her research results shall be categorized as revenue that is used to calculate miscellaneous income or business income of the Professor.

4 Monetary awards and other grants provided by the university in recognition of a Professor who achieved special results of scientific research, or made particular achievements in educational practice shall be categorized as occasional income of the Professor.

## 10-9. Frequently Asked Questions

Below you will find frequently asked questions to the contact offices regarding the execution, etc. of research funds. Please refer to these for your reference.

### 001 Purpose of use of research funds

Q	Can I use research funds to purchase learning materials (such as publications) used in classes and seminars?
A	No. Because of the nature of research funds, you cannot use them as educational expenses such as costs of instructing classes or students.

### 002 Management of purchased articles

Q	Is it possible to take items purchased with research funds out of the University and use and install them for a long term?
A	Items purchased with research funds must be installed in facilities of the University, such as a laboratory in principle. Manage them to ensure that they will not be taken out of the University without approval. If you store and use purchased items, etc. outside the University, submit a statement of reasons (made to dean, etc./clerical supervisor, etc.) specifying the name of the item, period, reasons and other relevant matters to each Faculty Office, etc. All items purchased with research funds belong to the University, and therefore we may perform on-site confirmation of the items as part of audit, tax inspection, etc. as necessary.

### 003 How to purchase goods, etc.

Q	Can I purchase goods, etc. directly, not through the University?
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A	The Facilities Management Office via the Faculty Office will place an order of goods, etc. in principle. It is also possible to purchase at Amazon Business. However, if there are unavoidable reasons, you may purchase by making payment to be reimbursed later.
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## 004 Order to designated supplier

Q	In what circumstances do I have to tick the checklist in the lower part of the Purchase Request Form?
A	The checklist of the Purchase Request Form must be used when purchasing articles, etc. by designating a supplier. It is not necessary to tick the list when purchasing without designating a supplier.

## 005 Annual subscription fees

Q	If a contract period of annual subscription fees of publications, etc. covers both the current and following fiscal years, is it acceptable to make full payment with research funds for individual researchers for the current year?
A	Yes. It is acceptable to make payment for an annual subscription fee for a one-year period covering the relevant fiscal year and the following year. However, an invoice or a receipt must be issued at a date of the relevant fiscal year.

## 006 Use of taxis

Q	I would like to use a taxi or rental car during official travel. Is it acceptable?
A	If no train or bus service is available due to the following reasons, you may use a tax or rental car. Specify any of the following reasons in Travel Approval Request Form and obtain approval. (List of reasons) <ul style="list-style-type: none"> <li>• There is no other means of transportation.</li> <li>• It is necessary to move outside the operating hours of public transportation services, such as train and bus.</li> <li>• A taxi or rental car is needed to carry stuff necessary for research.</li> <li>• It is impossible to arrive on time for the next destination without using a taxi or rental car.</li> <li>• It is economically reasonable compared to other means of transportation.</li> <li>• Other transportation services might be dangerous. (Only on overseas travel)</li> </ul>

## 007 Payment for participation fees, and admissions

Q	Is it acceptable to make payment for participation fees of a study seminar and lectures, and admissions at a museum or gallery?
A	It is acceptable if you can indicate the association with a faculty member's field of research. It is difficult to judge whether seminar participation fees, admissions, etc. are associated with a faculty member's major field of research, it is necessary to describe the payment's association with his/her research field in an attachment (in any form) and submit it with the Reimbursement Request Form.

## 008 Expenses for travel for instructing students

Q	Can research funds for individual researchers be used to pay for the cost related to travel for instructing students?
A	Instructing students intends for education, not for research, so the expense may not be covered by research funds for individual researchers. However, in case of overseas travel for instructing students, research funds for individual researchers may be used to pay for travel miscellaneous expenses.

## 009 Payment of cancellation fees for travel expenses

Q	I made application for visa for my scheduled official travel, but it is unlikely to obtain the visa by the departure. In this case, I would like to cancel the air ticket. Is it possible to pay for the cancellation fee with research funds for individual researchers?
A	If the cancellation of the travel is not due to personal reasons, it is allowed to make payment with research funds. Submit the request form attaching a statement of reasons, etc. along with an invoice, receipt, and other relevant evidence documents of the cancellation fees to the Faculty Office. However, if the application for visa is delayed due to personal reasons, it is not allowed to make payment with research funds.