Preservation version

(Research expenses compliance educational materials)

Research Funds Handbook

— For students —

KOBE UNIVERSITY

Preface

Kobe University (hereinafter referred to as the "University") takes a variety of steps to prevent misuse of research funds with a view toward facilitating research activities through proper management and efficient use of such funds. These steps include the establishment of relevant regulations, as well as a consultation hotline for inquires about the rules for use of funds and a whistleblowing hotline for reporting improper use of funds.

University appreciates students' cooperation for carrying out research after confirming and understanding the following matters when requested to do work, etc., related to research by a researcher.

Submission of a pledge

- When receiving wages or honorariums via a request for duties related to the accomplishment of a research task, for example: document organisation, etc.
- When receiving business trip expenses after a business trip, related to the accomplishment of a research task, via a request for duties.

When receiving any requests, etc., abovementioned from a researcher, it is necessary to submit a "pledge" which vowed to comply with laws and regulations, etc., and not to perform any illegal acts. (A "pledge", without large revision, may submit one time.)

In addition, if it is not possible to submit a pledge for some reasons, the requests will not be able to be processed.

Basic procedures

To use research funds, basic procedures such as "Preliminary submission of respective documents" or "Confirmation of the facts causing expenditure" are necessary.

〈Business trip expenses〉

Business trip request • • If a business traveler is a student, a researcher, etc. inputs necessary data on his/her behalf.

Taking a business trip • • Be sure to keep documents that serve as evidence of the trip (or business),such as conference programs and research notebooks.

Business trip report • • • Be sure to attach the conference program, etc.

◎ **Documentary evidence from transport service operators, etc. that must be attached**

- **Airline ticket stubs and receipts**
- **Documents showing the route traveled and amount paid (for international trips)**
- **For trips by sea, documents and receipts showing the route traveled, cabin class, and fare**
- **For a package trip, documents and receipts showing a breakdown of the amount paid**

◎ Business trip report

- Be sure to specify the following information in the "Description" section of the business trip report or statement of short-distance business trip expenses adjustment, so that details of the business trip may be verified at a later date.

  1）When (dates and times)　2）Where (destinations)　3）With whom　4）For what purpose

- A business trip report should be filed promptly (within two weeks) after a business trip is completed.

[Example business trip reports]

Duration	**Tuesday, September 1, 20XX – Thursday, September 3, 20XX**
Destination	**Faculty of _____, _____ University**
Purpose	**To participate in the __th ___ Conference to present a paper and gather data on ___**
Description	**Participated in the abovementioned conference, which was held at _____ University on September 1-3, and presented a paper on _____ on September 2 as described in the attached program. On other dates, participated in workshops and gathered data for research on _____**
Accommodation	**_____ Hotel (_____ City)**

〈Personnel expenses and honorariums〉

Application • • A letter of inquiry, etc. (A **researcher performs** it.)

Provision of services • • Job duties, labor and employment conditions, etc., will be explained **by the administrative staff**.
An attendance book should be **received in the office** on arrival, and **returned to the office** on leaving.

Payment of wages/honorariums • • After the duties end, it will be **transferred to the bank account** in the name of the person (student). (It takes a little while.)

If the duties requested are concerning your classes to be taken as schoolwork, or a hindrance to you attending classes, you will not be able to submit any requests.

Misuse of research funds,

Preparing false documents, as if they are based on facts, with the intention of improperly receiving research funds constitutes "misuse of research funds," even if the funds are not used for private purposes.

[Business trip expenses] --- Fictitious business trips and padded demands for business trip expenses

[Personnel expenses, honorariums] --- Fictitious wages and honorariums

Fictitious business trips and padded demands for business trip expenses

Ex. Receiving expenses for a business trip by train without reporting that discount airlines were actually used instead

Ex. Claiming and receiving business trip expenses from the University despite receiving funding from other organization(s) for the same trip

Ex. Claiming and receiving business trip expenses by padding out the length of the trip

Ex. Receiving business trip expenses as a total amount of air or train fare despite traveling on a package tour that included such fares together with hotel expenses

Fictitious wages and honorariums

Ex. Recording more work hours than actually worked on a timecard and filing a claim for payment with the University so that the Principal Investigator can receive an excessive lump sum payment for him/herself and his/her collaborators, pay his/her collaborators for the hours actually worked, and use the difference for other expenses

Ex. Paying a fictitious wage or honorarium to students, etc., making them pay it back (kickback), and spending the money on maintaining and running the laboratory

Whistleblowing Hotline for Misuse

Please contact the following internal or external whistleblowing hotlines to report misuse of research funds.

[How to report misuse]

- The informer must submit a document describing his/her name, affiliation, address, etc. and the following information to one of the whistleblowing hotlines below.
  1) Name(s) of person(s) suspected of misusing research funds
  2) Nature of misuse and details of the case
  3) Rational reasons for and evidence of misuse
- In addition to the above, reports may also be made via post, or e-mail.
- The report will be examined and a judgement made within 30 days of receipt. The informer will be notified of this decision.
- If the report contains general opinions and complaints and does not meet criteria for investigation, the report will be forwarded to the relevant department and used to improve working conditions.

Internal hotline: Internal Control Office, Kobe University (1st Floor, Administrative Office)
Hours: 08:30-12:00, 13:00-17:15
*** Closed on weekends, national holidays, summer simultaneous holidays, and year-end/New Year's holidays (December 29 - January 3)**
Send documents, etc. to:
1. By post: Internal Control Office, Kobe University 1-1, Rokkodai-cho, Nada-ku, Kobe, 657-8501
Please write "Whistle-blowing" on the envelope.
2. E-mail: cp-tuho@office.kobe-u.ac.jp

External hotline: Kobe-Kaito Law Office (Contact Takisawa or Horiuchi)
1. By post: 7F Shinko Building, 8 Kaigaindori, Chuo-ku, Kobe, 650-0024
Please write "Whistle-blowing" on the envelope.
2. E-mail: shindai-gaibu@kobe-kaito.com

【The person himself/herself must record and keep this.】

Name ....

Pledge submission date: year/ .... month/ .... day/ ....

Pledge submission department: ....

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1-1, Rokkodai-cho, Nada-ku, Kobe, 657-8501
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