

Date: June 18, 2024

Request to Take the Compliance Education and Research Ethics Education
(for Faculty and Staff Members) for AY 2024

1. Purpose

An e-Learning training will be implemented for THERS members in order to reaffirm the importance of the proper use of public funds and the prevention of their improper use, as well as to deepen their understanding of the rules regarding the use of expenses, so that the proper use of public funds at THERS is thoroughly enforced.

In addition, the University will conduct its own research ethics education for those who conduct research activities at Nagoya University in order to ensure that they understand the details of research misconduct as defined by the University and do not engage in any activities that could lead to misconduct while conducting their research.

All education and training courses will be conducted using the Tokai National Higher Education and Research System LMS "TACT".

2. Persons Subject to Taking the Courses:

[Compliance Education (e-Learning regarding the Use of Public Funds)]

All faculty and staff members affiliated with the Tokai National Higher Education and Research System, as well as those affiliated with Nagoya University, and **JSPS Research Fellows whose host institutions are Nagoya University, and JSPS International Research Fellows.**

(Please refer to "1. (1) Persons Not Subject to Taking the Courses" in the attached "Outline of the Education and Training Courses" for the criteria for those who are not subject to taking the courses.)

[e-Learning for Research Ethics Education]

Faculty members, researchers, etc. who conduct research activities that are among those who are subject to taking the course listed above.

(For details on who is required to take the training, please refer to "1. Persons subject to [e-Learning for Research Ethics Education]" in the attached "Outline of the Education and Training Courses")

Taking the above two training courses is required to apply for external funding, including the Grants-in-Aid for Scientific Research.

All applicants for external funding must confirm that they have completed the above courses.

3. Requested Period for Taking the Courses

Please take the courses **within one month of the date of this document (June 18, 2024).**

* The requested deadline to finish taking the courses is **September 30, 2024.**

* They can be taken throughout the day, excluding maintenance hours (4:00-6:00am).

* They can be taken off-campus, including overseas.

* New faculty members who are appointed after the publication of this document are to take the courses **within a month of taking their position.**

* A certain grace period (from October 1 to November 30) will be set to urge those who have not completed the courses by the deadline. However, if they do not complete the courses even after the grace period, then all their execution authority in the Financial Accounting System (Source Input) will be removed. If their execution authority is removed, they will become unable to use research funds. (For details, please refer to "3. Response to those who Do Not Complete the Courses" in the attached "Outline of the Education and Training Courses")

4. How to Take the Courses

The Tokai National University Organization Learning Management System "TACT" will be used.

For specific information on how to take the courses, please refer to "2. How to Take the Courses" in the attached "Outline of the Education and Training Courses"

Contact:

Research Strategy Department,

Research Safety Control Division,

Research Safety Control Group

Telephone: 052-747-6410 (ext. 6410)

E-mail: ken-kousei@t.thers.ac.jp

Outline of the Education and Training Courses Implementation

1. Persons Subject to Taking the Courses

[Compliance Education (e-Learning Regarding the Use of Public Funds)]

All faculty and staff of the Tokai National Higher Education and Research System and those of Nagoya University, JSPS Research Fellows whose host institutions are Nagoya University, and JSPS International Research Fellows.

①Persons Not Subject to Taking the Courses

Persons who are determined by the Compliance Manager not to be involved in the execution of research funds, etc., and who meet the following requirements may be exempted from taking the course.

- (1) Persons taking long-term leave, etc. (maternity leave, childcare leave, long-term sick leave, etc.);
- (2) Part-Time Lecturers, Invited Faculty Members;
- (3) Emeritus Professors;
- (4) Persons working at other institutions (employees on loan, internship at a company, etc.);
- (5) Persons limited to onsite work (drivers, childcare workers, mail carriers, machine maintenance workers, observation point measurers, agricultural and forestry workers, Work Support Office workers, weekend museum receptionists, etc.);
- (6) Healthcare Workers (Excluding those in positions equivalent to Section Head and above);
- (7) Persons who are among the members affiliated with the Tokai National Higher Education and Research System and/or Nagoya University as of September 30, 2024, but who have been recognized and approved by the Compliance Manager to not take the course because they will retire/resign by March 31, 2025 and do not any execute research funds, etc. at the University;
- (8) Those who were newly hired in or after April 2024 and have taken and passed the provisional version of this e-Learning course for 2024 (Since the provisional version covers most of the content for this year, this year's course will be considered completed.);
- (9) Other than these, persons whom the Deputy Fund Manager approves to be excluded.

* Persons who have external funds such as Grant-in-Aid for Scientific Research (including shared funds), etc. are subject to taking the course, even if they fall under one of the items listed above.

(Excluding those who are applicable to item (8))

②Employees who are newly employed or transfer in after the start of the course.

Employees who are newly appointed after the start of the course will be included as persons subject to taking the course as necessary. Newcomers are requested by the department to take the course within one month of appointment to their position.

Those who are newly appointed after October will not be included in the list of persons subject to taking the course and will not be subject to reporting. However, they will be registered in the TACT system and could take the course, so we ask each school/graduate school, etc. to ask them to take the course, especially if they apply for external funds such as Grants-in-Aid for Scientific Research.

③Students

For students, a separate "Compliance Education, Research Ethics Education (for Students)" will be implemented, so, in principle, please tell them to take this course.

However, students who obtain their own research funds and manage and execute their own budgets, such as JSPS Research Fellows, are required to take the e-Learning course for Faculty and Staff Members.

JSPS Research Fellows are registered as persons subject to taking the course from the start, however, if there are other students who need to take the course, please inform the Research Safety Control Division.

Note that it is possible to take both the “for Faculty and Staff Members” and the “for Students” courses.

④ Dispatched Employees

Regarding dispatched employees, only those who have applied for and are using a THERS account will be registered as the persons subject to taking the course.

[e-Learning for Research Ethics Education]

Faculty members and researchers who engage in research activities that are among the those listed above as persons subject to taking the [Compliance Education] course:

* Specific positions (regardless of full-time or part-time positions)

Professors, Associate Professors, Lecturers, Assistant Professors, Research Associates

Designated Professors, Designated Associate Professors, Designated Lecturers, Designated Assistant Professors

Clinical Professors, Associate Clinical Professors, Clinical Lecturers, and Assistant Clinical Professors

Researchers

Designated Technical Staff, Technical Assistants (who belong to a school/graduate school, etc.)

Research Administrators

JSPS Research Fellows, JSPS International Research Fellows

Persons who hold positions other than those listed above and who have external funds such as Grants-in-Aid for Scientific Research, etc. (including shared funds):

(Emeritus Professors, Teachers, Part-time Lecturers, Invited Faculty Members, etc.)

* Supplementary information

- The persons listed above as those subject to taking the courses will be able to take both the Compliance Education and Research Ethics Education courses concurrently once they log in to TACT.

- If there is anyone who is not in the above list of persons subject to taking the course but wishes to take the "Research Ethics Education" course, please contact the Research Safety Control Division **before taking the "Compliance Education" course.**

- When students take "e-Learning Regarding the Use of Public Funds for Students," they can also take the "Research Ethics Education" course listed above. If you would like your students to take this course, please tell them to take the "e-Learning Regarding the Use of Public Funds for Students". The content of the Research Ethics Education for students is mostly identical with that for faculty and staff members.

2. How to Take the Course

(1) Please access the TACT course screen from the URL below.

<https://tact.ac.thers.ac.jp/portal/>



(2) Click the button in the upper right side of the TACT top screen and log in with your THERS account.

For information on how to log in, please refer to the TACT top screen's "Information about TACT", "[Various information]", "・ About logging in".

(3) The titles of the training courses which you are supposed to take will be indicated on the top of the screen.

Please click "2024N○_Compliance Education and Research Ethics Education (for NU Researchers)" or "2024N○_e-Learning Regarding the Use of Public Funds (for NU Staff Members)" in that section. (In place of the ○ symbol, various alphabets will be written according to their respective individual.)

(4) When the "受講の手順/INTRODUCTION" screen appears, please take the course in the following order: review the text, take the test, and check your score and feedback.

(5) About the Test

[For those only taking Compliance Education (e-Learning Regarding the Use of Public Funds)]

The test is divided into two parts.

○Part 1: Pledge and Confirmation (3 questions)

Before starting the comprehension test of this training course, you will be asked to review the "Pledge Regarding Use of Expenses," "Checklist for Using the Financial Accounting System," and "Declaration Regarding Orders". By checking "A. I agree," you agree to the matters listed in these items.

In this part, select A for all. Selecting B will result in "Failure" regardless of the test results below.

○Part 2: "e-Learning Regarding the Use of Public Funds" (20 questions)

Total: 23 Questions

In Part 1, 40 points are allotted for a total of three questions, and in Part 2, 3 points are allotted per question.

A score of 94 or higher out of 100 (no more than 2 incorrect answers out of 20 questions in Part 2) is required to pass. A score of 91 or below (3 or more incorrect answers) will result in Failure.

[For those who will take both Compliance education and Research Ethics Education]

The test is divided into three parts.

○Part 1: Pledge and Confirmation 3 questions

Before starting the comprehension test of this training course, you will be asked to review the “Pledge Regarding Use of Expenses,” “Checklist for Using the Financial Accounting System,” and “Declaration Regarding Orders.” By checking “A. I agree,” you agree to the matters listed in these items.

In this part, select A for all. Selecting B will result in "Failure" regardless of the test results below.

○Part 2: "e-Learning Regarding the Use of Public Funds" (20 questions)

○Part 3: "e-Learning for Research Ethics Education" (10 questions)

Total: 33 Questions

In Part 1, 40 points are allotted for a total of three questions, and in Parts 2 and 3, 2 points are allotted per question.

A score of 94 or higher out of 100 (no more than 3 incorrect answers out of 30 questions in Parts 2 and 3) is required to pass the test. A score of 92 or below (4 or more incorrect answers) will result in failure.

(6) The course is complete when "合格/Pass" appears in the "Course Grades" section of the "Gradebook".

3. About the Response to those who Do Not Complete the Courses

The e-Learning Regarding the Use of Public Funds falls under the "Implementation of Compliance Education" in the “Guidelines for Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)” of the Ministry of Education, Culture, Sports, Science and Technology (MEXT), and the participation rate will be reported to MEXT every year.

As a rule, it is required to report that 100% of the persons subject to taking the course have completed the course, therefore, if the participation rate is less than 100%, it may be subject to investigation as a matter of concern.

Regarding the e-Learning for Research Ethics Education, the “Measures to Prevent Research Misconduct at Nagoya University” stipulates that “those who do not complete the course will be suspended from applying for competitive funds for the relevant fiscal year.”

In order to ensure 100% participation, we plan to urge those who have not yet taken the course to take it as follows.

- (1) Early July: All faculty and staff members be sent an email reminder to take the course.
- (2) August-September: Periodic reminders will be sent directly from the Research Safety Control Division to each person who has not yet taken the course.
- (3) Early October: A list of names of those who have not yet taken the course by the final deadline of September 30 will be sent to the Compliance Manager and the Vice Compliance Manager of each school, graduate school, etc., requesting them to urge those who have not yet taken the course to do so.
- (4) November: At the Education and Research Council, the ratio of percent of those who took the course in each school, graduate school, etc. will be reported, and the school, graduate school, etc. and the Research Safety Management Section will urge them again so that the number of persons who have not taken the course will be reduced to zero by the end of November.

(5) After the end of grace period (November 30)

Upon prior notice, the person who has not completed the course at the end of the grace period will have their execution authority in the financial accounting system removed after about one week (December 7). (a measure based on the decision at the executive board on July 17, 2018)

* If the person's course completion is confirmed, the Research Safety Control Division will request the Information System Operations Division of the Information and Communications Technology Services Department to restore their execution authority.

If you have any questions about taking the courses (cannot log in, do not know where to take the test, do not know if you passed the test, do not know whether you are subject to taking the courses or not, etc.), please contact the one written below.

Contact:

Research Strategy Department

Research Safety Control Division, Research Safety Control Group

Telephone: 052-747-6410 (ext. 6410)

E-mail: ken-kousei@t.thers.ac.jp