

# 上智大学委託研究規程 Sophia University Regulations on Contract Research

Enacted April 1, 1987

Amended July 1, 1996 October 1, 2002 October 1, 2005 April 1, 2008 July 1, 2011 April 1, 2014 April 1, 2016 December 1, 2022 May 1, 2024

(Purpose)

## Article 1

The regulations herein stipulate the necessary matters pertaining to the handling of contract research at Sophia University (hereinafter the “University”).

(Definitions)

## Article 2

In the regulations herein, “Contract Research” is research commissioned to the University by organizations outside the University (hereinafter “Contractee”) and conducted at the University and for which the required “Contract Research Funds” are assumed by the Contractee.

2 In the regulations herein, a “Foreign Government” is a foreign government, and its affiliated organization or individual, or an international organization or an internationally organized group.

(Researcher in charge, etc.)

## Article 3

A person in charge of Contract Research at the University (hereinafter “Researcher in charge”) shall be a full-time faculty member of the University. However, full-time faculty members, graduate school students and other persons may be added as research assistants, as deemed required.

2 Regardless of the preceding paragraph, under special circumstances, a person other than a full-time faculty member may be a Researcher in charge with the approval of the President.

(Criteria for acceptance)

## Article 4

Contract Research shall be accepted only when it is deemed meaningful for the University in terms of its education and research and will not risk obstructing its essential education and research.

2 In the event that, after acceptance of Contract Research, the circumstances fail to meet the criteria stipulated in the preceding paragraph, the University may order suspension of the research.

(Application for Contract Research)

## Article 5

The Contractee shall apply by submitting the Application Form for Contract Research (Format No. 1) to the President via the Dean of faculty, the Dean of graduate school or the Director of Sophia Research Organization.

(Application for Acceptance of Contract Research)

## Article 6

In the event an application for Contract Research has been received, the Researcher in charge shall complete the Application Form for Accepting Contract Research (Format No. 2) and Detailed Statement on Contract Research Expenditures (Format No. 3) and submit them with the Application Form for Contract Research (Format No. 1) stipulated in the preceding article to the President via the Dean of faculty, the Dean of graduate school or the Director of Sophia Research Organization.

(Decision on acceptance of Contract Research)

#### Article 7

The President shall, in the event an application has been submitted pursuant to the preceding article, decide whether or not to accept said Contract Research.

2 The Standing Committee for Higher Education shall discuss and decide whether or not to accept Contract Research from a Foreign Government.

(Conclusion of the Contract Research Agreement)

#### Article 8

In the event the decision stipulated in the preceding article has been made, the Chancellor shall conclude a Contract Research Agreement with the Contractee.

2 Unless otherwise specified, an agreement on Contract Research shall stipulate the following items :

- (1) Theme and contents of Contract Research
- (2) The Researcher in Charge and assistants, as required
- (3) Duration of research
- (4) Matters pertaining to the handling of Contract Research funds
- (5) Method of reporting on research
- (6) Method of presenting research outcomes
- (7) Matters pertaining to intellectual property rights
- (8) Other matters pertaining to implementation

(Handling of Contract Research funds)

#### Article 9

Contract Research funds shall be handled pursuant to the regulations herein and the Sophia School Corporation Rules and Regulations on Accounting.

2 The Researcher in Charge may use the Contract Research fund less general overhead expenses (10% of Contract Research Funds) for said research.

3 Regardless of the preceding paragraph, when indirect expenses associated with competitive research funds, etc. have been paid to the University, the amount equivalent to 5% of direct costs shall be taken from indirect costs as general overhead expenses. In this case, indirect costs shall be treated pursuant to the Indirect Costs Guidelines of the research grant for which accounting has been commissioned.

4 Regardless of the preceding two paragraphs, the rules of the Contractee apply where relevant.

(Perquisites and Honorariums)

#### Article 10

The payment of perquisites and honorarium to the assistant stipulated in Article 18 shall be decided by the Researcher in Charge based on consultation with the Contractee.

(Shortage of Contract Research Funds)

#### Article 11

The Researcher in Charge shall consult with the Contractee regarding the addition of funds where said research entails a large amount of expenses which the Contract Research funds received will not be able to cover.

(Prioritization of education and research)

#### Article 12

The education and research of the University shall be prioritized when using facilities and equipment.

(Prohibition of the refurbishment of facilities and equipment)

#### Article 13

Major refurbishments shall not be conducted upon facilities and equipment for the purpose of Contract Research.

2 In the event of minor refurbishments conducted based on approval or in the event of breakage, the user shall return all such matters to the original state.

(Management of offered goods)

#### Article 14

The management and handling of goods offered by the Contractee for the purpose of Contract Research shall be stipulated at the time an Agreement on Contract Research is concluded.

(Attribution and disposal of acquired goods)

#### Article 15

Appliances, equipment, books and materials, consumables, etc. that have been acquired through purchases or donations for the purpose of Contract Research shall be the property of the University.

(Reporting the completion of Contract Research)

#### Article 16

In the event Contract Research has been completed, the Researcher in Charge shall formulate a Report on the Completion of Contract Research / External Collaborative Research (Format No. 4) and submit it to the President via the Dean of faculty, the Dean of graduate school or the Director of Sophia Research Organization.

(Attribution of outcomes related to Contract Research)

#### Article 17

The attribution of intellectual property rights, etc. associated with Contract Research shall be determined based on consultation with the Contractee pursuant to relevant regulations, etc. of the Sophia School Corporation.

(External assistant)

#### Article 18

As deemed required by the President, based on application from researcher in charge, a person dispatched by the Contractee may be received as an assistant for a certain period of time.

(Secretariat)

#### Article 19

Administrative matters excluding those associated with accounting, personnel and facility and equipment shall be supervised by the Center for Research Promotion and Support, Bureau of Academic Research and Information.

(Amendment and abolishment of regulations)

#### Article 20

Amendments and abolishment of the Regulations shall be made in accordance with the procedures predetermined by the Sophia School Corporation.

These Regulations shall become effective on April 1, 1987.

Supplementary provision

These Regulations shall be amended and become effective as of July 1, 1996.

Supplementary provision

These Regulations shall be amended and become effective as of October 1, 2002.

Supplementary provision

These Regulations shall be amended and become effective as of July 1, 2005.

Supplementary provision

These Regulations shall be amended and become effective as of April 1, 2008.

Supplementary provision

These Regulations shall be amended and become effective as of July 1, 2011.

Supplementary provision

These Regulations shall be amended and become effective as of April 1, 2014.

Supplementary provision

These Regulations shall be amended and become effective as of April 1, 2016.

Supplementary provision

These Regulations shall be amended and become effective as of December 1, 2022.

Supplementary provision

These Regulations shall be amended and become effective as of May 1, 2024.

Format No.1 · Format No.2 · Format No.3

Format No.4

Note: The English translation is provided for information. The original Japanese version remains the sole official version. If there is any discrepancy between the two versions, the Japanese original should take precedence.