

Implementation Standards for the Guidelines

(As of October 16, 2006)

Review Committee for Academic Research Collaboration with External Bodies

Criteria of revision is applicable from the project in 2007 fiscal year

I. Terminology of the Regulations concerning Approval for Academic Research Collaboration with External Bodies (hereinafter referred to as the “Regulations”)

1. Descriptions in Item 2, Article 2, of the Regulations

1) Scope and definition of academic research collaboration (cf. table below):

Classification	Category	Description
No. 1 and related schemes	Contract Research Programs	Research programs contracted and funded by external bodies, including contract academic research projects and surveys, especially those subject to an allocation of MEXT's Special Coordination Funds for Promoting Science and Technology/Grants-in-aid on Comprehensive Scientific Research Contracts
	Contract Education Programs	Education programs contracted and funded by external bodies
No. 2 and related schemes	Joint Research Programs	Research programs inviting researchers and securing research funds from external bodies or other programs implemented by Waseda University and its department office and conducted externally in collaboration with researchers from external bodies
	Joint Education Programs	Programs in collaboration with external researchers on educational agenda
	Exchange Programs	Exchange programs on academic or student issues conducted in cooperation with other universities or external bodies
	Research Exchange Programs	Exchange programs on specific research themes conducted by Waseda University or other organizations or study groups and research programs launched by the university and funded membership or participants fee by external bodies

No. 3 and related schemes	Funded Chair Courses	<u>Courses</u> based on contributions and other donations from individuals or corporate entities for the undergraduate schools, graduate schools, research institutes, and affiliated centers of Waseda University
	Collaboration Courses	<u>Collaboration courses established with Waseda University</u> based on contributions and other donations from individuals or corporate entities for the undergraduate schools, graduate schools, research institutes, and affiliated centers of the University
	Funded Research Projects and Courses	<u>Courses include research and guidance sessions with provision of visiting professors,</u> based on contributions and other donations from individuals or corporate entities for the undergraduate schools, graduate schools, research institutes, and affiliated centers of Waseda University
	Funded Research Projects	Study groups and research projects based on contributions from individuals or corporate entities for Waseda's affiliated research institutes, Tsubouchi Memorial Theater Museum, and Aizu Museum with no obligation to report research results to contributors
No. 4 and related schemes	Contributions	Contributions to Waseda University and related organizations for the promotion of academic study/research
	Subsidies	Subsidies from the national government, local governments, or nongovernmental organizations

2) The provisions of Item 2, Article 2, of the Regulations shall not apply to the academic research collaboration below:

① Partnership schemes with external bodies not directly involved with academic research activities

3) Any planned partnerships other than those mentioned above require advance screening to determine whether the newly planned partnership satisfies the provisions of Item 2, Article 2, of the Regulations for approval.

2. Handing of JPY 10 million, as indicated in Item 1, Article 5, of the Regulations

Decision should be made as follows:

- 1) If a contract lasts two or more years, calculations should be made for the entire duration of the contract.
- 2) If a contract involves additional contracts, calculations should be made for the total amount of all the contracts.
- 3) If two or more external bodies work with Waseda University, such work shall be regarded as a

single collaboration, and calculations should be made for the total amount of the entire collaboration.

- 4) Stock certificates and other securities should be regarded as funds and calculated at their market price.
- 5) Goods should be calculated at their appraised value.
- 6) If contributions are made in the form of goods as well as in cash, such contributions should be converted into monetary terms and added to the total amount.

3. Explicit recognition of compliance with Item 3, Article 5, of the Regulations

The explicit compliance of the items below with the Guidelines will be confirmed, and Waseda University may grant approval for them without advance screening by the Review Committee. If any doubts should arise, such doubts shall be reported to the Review Committee.

1) Contributions

These include ordinary contributions, donations to designated organizations (except those for chair courses, chair research projects, and fund-raising purposes), commemorative funds, research/education enhancement funds, and education promotion funds.

2) Subsidies from the national government, local governments, or nongovernmental organizations

【 Subsidies for Waseda University and its department offices】

Ordinary expense subsidies for private universities/ research institute subsidies for private universities/subsidies to improve education and research equipment/facilities at private undergraduate and graduate schools/ coordination funds to employ the disabled/ tuition subsidies for foreign students/ Tokyo metropolitan government general subsidies/ Tokyo metropolitan government special scholarships/ Tokyo metropolitan government tuberculosis prevention subsidies/ Saitama school management subsidies/ Saitama tuition subsidies/ Saitama tuberculosis prevention subsidies/ forestation subsidies/ forest protection subsidies/ scientific research promotion funds, etc.

【 Subsidies for individuals through Waseda University】

The Ministry of Education's grants-in-aid for scientific research/ the Japan Society for the Promotion of Science's special researcher funds/ subsidies from Saitama's tuition abatement program/ and other education/research subsidies from nongovernmental organizations

3) Academic exchange programs for scientific agenda or those for students that are conducted in cooperation with other universities or external bodies

4) Seminars at Waseda institutes and the Research and Education Center (seminars, lectures, symposiums, workshops, etc.)

II. Funded Chair Courses , Collaboration Courses, and Funded Research Projects and Courses

1) Applicable criteria

Funded chair courses, collaboration courses, and funded research projects and courses are classified as follows, based on the standard operating expenses for courses (including facilities charges and general administrative costs)

(a) Funded chair courses:

- Cases where the amount of contribution is over two million yen

(b) Collaboration courses:

- Cases where the amount of contribution is less than two million yen
 - Courses held with dispatched lecturers and operating expenses for courses partially paid by the dispatching donor
- Courses given only by dispatched lecturers

(Note) Section (a) above will include cases where the amount of contribution is less than the standard operating expenses, if the Guideline Committee has approved that the amount is sufficient for the course operating expenses as judged by the submission of 'Funded course operating expenses breakdown list' (Form 1-3).

(c) Funded research projects and courses:

- Cases where the amount of contribution is over 10 million yen (in the case of provision of a full-time lecturer, 20 million yen)

2) Administrative principle

- The educational content (such as curriculum design and assessment) is determined by the University.
- In principle, the host department approves dispatched lecturers (lecturers proposed by the contributor) but this requires prescreening by the Academic Affairs Division (after submission of 'Application for lecturer affairs', '*Kyoin jinji shinseisho*').
- The University decides the utilization of the contribution.
- All arrangements must comply with the regulations governing Academic Research Collaboration with External Bodies

3) Regarding names and titles

In principle, funded chair courses and funded research projects and courses can put the names of the contributors in the titles of courses. However, names should be abbreviated as much as possible.

(別紙)

1. 寄附講座等を設置する場合の要項等への掲載文

寄附講座(提携講座、寄附研究・講座)開設について

早稲田大学では、教育研究の質的向上・発展に寄与することを目的として学術研究提携等を行っています。

その際、大学の主体性と独自性を堅持するため、次の「ガイドライン」を制定しています。

1. 学問の自由および独立を守ること。
2. 世界の平和および人類の福祉に貢献する研究を行うものとし、軍事研究および軍事開発は行わないこと。
3. 本大学における研究活動の発展および教育の向上に寄与すること。
4. 研究成果の公表を禁止された秘密研究は行わないこと。ただし、研究成果の公表時期に関する研究委託者または共同研究者との信頼関係に基づく合理的制約は、この限りでない。
5. 社会的に公正であること。
6. 関連資料を開示の上、民主的な手続きに基づき、提携等に関する意思決定を行うこと。

また、このガイドラインを正しく運用していくため、大学は、「学術研究提携等審査委員会」を設置して、個々の提携等を審査しています。

以下の寄附講座(提携講座、寄附研究・講座)は、このような学術研究提携等の一環として上記の審査を経て設置されたものです。

(注) 早稲田大学規約集の「学外機関等との学術研究提携等に関する規則」
および「学外機関等との学術研究提携等の承認手続等に関する規程」
(掲載頁332の1～5)を参照。

上記を前文として以下に箇所で設置する講座を掲載する。

[寄附講座]

掲載例： (平)年度 学部「寄附講座」(一覧)

科目名(寄附講座)

(科目名に続いて寄附講座毎に必要な事項を記載(略))

寄附講座科目は、他の頁では頭に「*」を付しています。
(寄附研究・講座についても上記に準じる)

[提携講座]

掲載例： (平)年度 学部「提携講座」(一覧)

本講座は*****の協力に基づいて開設されています。

提携講座科目は、他の頁では頭に「」を付しています。

学 術 研 究 提 携 等 申 請 書

第 号
年 月 日

早 稲 田 大 学 総 長 殿

長

学術研究提携等につき承認いただきたく、下記のとおり申請します。

記

1. 提携等の名称
2. 外部機関等の名称
3. 外部機関等の概要
4. 提携等資金総額 (物品などの提供は併せて記入のこと)
5. 提携等の期間および資金の納入時期
6. 提携等の概要
7. 提携等担当者名および職名
8. 提携等の目的
9. 附帯事項
10. 箇所の意思決定機関と申請決定日

以 上

所管箇所確認欄	提携等審査委員会	摘 要
	年 月 日審査委員会	

提携等の契約内容および経費等明細に関する資料を添付すること。

寄 附 講 座 等 設 置 申 請 書

第 号
年 月 日

早 稲 田 大 学 総 長 殿

長

寄附講座等設置につき承認をいただきたく、下記のとおり申請します。

記

講座区分(寄附講座 提携講座 寄附研究・講座 寄附研究) 当該区分に を付してください。

1. 講座(研究)の名称および設置期間
2. 寄附者
3. 寄附者の概要(法人の場合は資本金、従業員数、事業内容等を記載)

* 必要に応じて事業報告書等の資料を提出してください。

4. 本学紹介者名
5. 本学紹介者と寄附者の関係
6. 寄附講座開設にいたる経緯および必要性(寄附目的)
7. 寄附金額(施設設備等を併せて寄附する場合はその概要)
8. 寄附の入金予定日
9. 寄附金の使途
10. 寄附方法
11. 講座統括責任者、担当予定教員名(研究員名)および職名
12. 講座の教育研究領域の概要
(寄附研究の研究目的および研究課題)
13. 寄附金入金実績(継続申請の場合のみ記載)
14. 附帯事項
15. 箇所の意思決定機関と申請決定日

以 上

所管箇所確認欄	提携等審査委員会	摘 要
	年 月 日審査委員会	

「寄附講座等設置申込書」の写しおよび当該団体の寄附に関する規程等の写しを添付すること。

様式 1 - 3 (寄附講座等運営費内訳表)

申請箇所 : _____

講座名 : _____

(単位:円)

科目	金額	内容	算出根拠
< 運営費(直接費) >			
人件費			
手数料報酬			
消耗品費			
図書資料費			
通信費			
印刷製本費			
旅費交通費			
会合費			
雑費			
(その他事務費等)			
()			
施設利用料			
()			
(小計)			
< 一般管理費(間接費) >			寄付金額の10%
運営費合計			

学 術 研 究 提 携 等 申 請 書 (内 容 変 更)

第 号
年 月 日

早 稲 田 大 学 総 長 殿

長

承認済学術提携等の一部内容変更について承認いただきたく、下記のとおり申請します。

記

1. 承認済提携等の名称

審査委員会承認年月日
理事会決定(常任理事決裁)年月日

2. 変更内容

[現 行]

[変 更 後]

3. 変更理由

(具体的に記入してください。)

4. 附帯事項

5. 箇所の意思決定機関と申請決定日

以 上

所管箇所確認欄	提携等審査委員会	摘 要
	年 月 日審査委員会	

学 術 研 究 提 携 等 報 告 書

第 号
年 月 日

早 稲 田 大 学 総 長 殿

長

学外機関等との学術研究提携等の承認手続等に関する規程第5条第2項に基づき、下記のとおり報告します。

記

- 1.学術研究提携等実施件数 件
- 2.学術研究提携等の総額 _____ 円
- 3.学術研究提携等一覧 枚 (別紙様式)

以 上

所管箇所確認欄	提携等審査委員会	摘 要
	年 月 日審査委員会	

様式2 - 別紙様式(提携等一覧)

起 案	箇所名		文書番号箇所	第	号 -	号
	事務 長	担 当 者	起案日年月日	年	月	日
			箇所決定年月日	年	月	日
下記の学術研究提携等を報告します。						
番 号	提 携 等 題 目	学外機関等	担当者名	提携期間	提携資金	
集 計		番 号	件 数	金 額		
今回報告		~				
提携等累計		~				

報告書記載の提携等に関する契約等の写し(各1通)を添付し報告すること。