

**Aizu University Public University Corporation**

**Governance Code**

**(AY 2024 - First Edition)**

**Date: 31 March 2025**

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Note: This document is an English translation of the original Japanese document. In case of any discrepancies, the interpretation based on the Japanese version shall take precedence.

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## **Introduction**

### **Purpose and Significance**

This code summarizes the basic principles of governance for Aizu University Public University Corporation (hereinafter referred to as "the Corporation"), based on the "Public University Governance Code" formulated by the Japan Association of Public Universities in FY 2022. It consolidates governance norms under relevant laws, the Corporation's articles of incorporation, and internal regulations. Furthermore, it aims to deepen dialogue with Fukushima Prefecture (hereinafter referred to as "the Prefecture"), the founding organization, regarding corporate management aligned with the Prefecture's policy philosophy, ensuring that faculty and staff can fulfill their responsibilities in academic governance.

## **Basic Principle 1: Establishing Plans and Systems to Achieve Founding Objectives and Mid-term Goals**

The Corporation's founding objectives are stipulated in Article 1 of the "Articles of Incorporation of Aizu University Public University Corporation." Specifically, the Corporation establishes and manages a university under the Local Independent Administrative Corporation Act to practice distinctive education and research, foster creative human resources, and contribute to the industrial and cultural development of the Prefecture. Furthermore, it aims to advance scholarship, science, and technology, create new civilizations and cultures, and contribute to the peace and prosperity of humanity.

Additionally, while the Corporation receives operational subsidies from the Prefecture as a major financial foundation, it assumes responsibility for fully utilizing its educational, research, and social contribution functions as a public asset of the region, thereby contributing to local community development.

To fulfill these objectives and responsibilities, the Corporation develops plans to achieve the mid-term goals presented by the Prefecture under Articles 25 and 78 of the Act and establishes the necessary systems to implement them effectively.

### **Principle 1-1: Formulation of Plans to Achieve Objectives**

The Corporation formulates plans to achieve the mid-term goals presented by the Prefecture, as stipulated in Articles 25 and 78 of the Act, based on the founding objectives specified in Article 1 of the Articles of Incorporation. In doing so, it strives to understand societal demands and the opinions of various stakeholders, appropriately managing progress and revising plans as needed.

### **Principle 1-2: Development of Systems for Formulating, Implementing, and Evaluating Plans**

The Corporation establishes mechanisms to formulate, execute, and evaluate plans appropriately to achieve the mid-term goals. It collects and analyzes data on its activities to conduct evidence-based assessments and optimize resource allocation.

### **Principle 1-3: Establishment of an Autonomous and Self-Regulating Corporate and Academic Governance System**

Given that operational subsidies from the Prefecture constitute an important financial foundation, the Corporation efficiently and effectively allocates human and material

resources. It establishes an academic governance system through faculty-staff collaboration to maximize its education, research, and community contribution functions.

#### **Principle 1-4: Securing Diverse Human Resources and Systematic Development of Highly Specialized Personnel**

The Corporation systematically recruits and develops diverse, highly specialized personnel with foresight in academia, expertise in local government and higher education systems, and essential competencies for managing public university corporations. It also formulates mid-to-long-term human resource development plans and personnel transfer policies, particularly for administrative staff, who play key roles in university operations.

#### **Principle 1-5: Continuous Self-Implemented Reforms**

To remain indispensable to the local community amid rapid societal changes, the Corporation continuously implements reforms and actively disseminates their outcomes. Moreover, within the university it establishes (including junior colleges), it develops systems responsible for internal quality assurance policies and their promotion, conducting periodic self-assessment and evaluation of university operations, education and research activities, and community contributions. It employs a PDCA (Plan-Do-Check-Act) cycle to ensure continuous improvement and advancement.

Furthermore, the Corporation periodically reviews and evaluates the appropriateness of its internal quality assurance system and strives for ongoing enhancement.

#### **Basic Principle 2: Proper Management and Administration**

Under Article 9 of the Articles of Incorporation, the President is responsible for overseeing the Corporation's operations. The President demonstrates leadership by ensuring appropriate division of duties based on the "Basic Regulations on the Organization and Administration of Aizu University Public University Corporation" (hereinafter referred to as "Basic Regulations"). Additionally, the President facilitates effective communication among executives, department heads, and relevant stakeholders.

For critical matters specified in Article 16, Paragraph 1 of the Articles of Incorporation, decisions are made through thorough deliberation at the Executive Board, and where necessary, consideration of discussions from the Management Council or the Educational and Research Council as stipulated in Paragraph 2 of the same article. This process ensures fairness and transparency in decision-making.

Furthermore, in corporate decision-making, the Corporation actively utilizes opportunities such as Executive Board meetings in accordance with Article 14 of the Articles of Incorporation to encourage thorough discussion among executives, ensuring comprehensive and well-coordinated governance.

## **Principle 2-1: Responsibilities of the President and Other Executives**

### **Principle 2-1-1: Responsibilities of the President**

The President clarifies the Corporation's management and academic operation policies, ensuring that stakeholders, including students and external entities, are well informed of educational and research outcomes.

### **Principle 2-1-2: Establishment of Support Structures for the President**

The President appoints and assigns executives and department heads as appropriate, ensuring an efficient and well-functioning governance system.

### **Principle 2-1-3: Effective Resource Allocation**

The President strategically allocates resources such as budget, personnel, and organizational frameworks to achieve the Corporation's objectives and mid-term goals.

### **Principle 2-1-4: Responsibilities of Vice Presidents and Executives**

Vice Presidents and executives support the President's decision-making by conducting thorough evaluations and ensuring the sound operation of corporate governance.

## **Principle 2-2: Establishment of Deliberative Bodies and Audit Systems to Support Corporate Management and Academic Affairs**

### **Principle 2-2-1: Establishment of a Management Council Involving External Stakeholders**

The Corporation establishes a Management Council, as stipulated in Article 17 of the Articles of Incorporation, to incorporate diverse stakeholder perspectives and actively reflect their insights in corporate management. The selection of council members considers objectivity and transparency in corporate governance, including appointments from external organizations.

### **Principle 2-2-2: Establishment of a Deliberative System to Improve the Quality of Education and Research**

To maximize the functions of education, research, and social contribution, the Corporation establishes an Educational and Research Council in accordance with Article 18 of the Articles of Incorporation. The selection of council members takes into account external appointments to ensure objectivity and transparency in educational and research activities.

### **Principle 2-2-3: Establishment of an Appropriate Audit System for Corporate Operations**

To maintain an effective and explicit oversight function, the Corporation appoints auditors as stipulated in Article 8 of the Articles of Incorporation. Additionally, an internal audit office is established in accordance with Article 2 of the Basic Regulations to ensure proper internal auditing mechanisms.

### **Principle 2-3: Responsibilities of the President Selection Committee**

#### **Principle 2-3-1: Selection of the President**

The appointment and dismissal of the President are conducted in accordance with Article 10 of the Articles of Incorporation, the "Aizu University Public University Corporation President Selection Committee Regulations," and the "Aizu University Public University Corporation President Selection and Dismissal Procedures Regulations" (hereinafter referred to as "Selection Procedures Regulations"). The Governor makes the final appointment based on the selection committee's deliberation. The selection committee members are appointed following Article 10, Paragraph 4 of the Articles of Incorporation and include external members to ensure objectivity and transparency.

#### **Principle 2-3-2: Procedures for the Dismissal of the President**

The President Selection Committee may request the Governor to dismiss the President based on Article 8 and Article 9 of the Selection Procedures Regulations.

#### **Principle 2-3-3: Evaluation of the President's Performance**

The appropriateness of the President's performance is assessed by referring to evaluations from the Fukushima Prefecture Public University Corporation Evaluation Committee, as stipulated in Article 11 of the Local Independent Administrative Corporation Act, as well as self-evaluations conducted by the Corporation. If there is a concern regarding the provisions of Article 8 of the Selection Procedures Regulations, the Selection Committee independently reviews the matter and promptly deliberates on dismissal in accordance with Article 9 of the same regulations.

### **Principle 2-4: Compliance with Laws and Risk Management**

#### **Principle 2-4-1: Appropriate Information Disclosure**

The Corporation operates fairly and ensures transparency, recognizing its public mission as an entity receiving operational subsidies from the Prefecture and engaging with various stakeholders for support and participation. To enhance social understanding and support, it strictly adheres to statutory information disclosure requirements and proactively publishes accessible information on university operations, education, research, and community engagement.

#### **Principle 2-4-2: Ensuring Compliance**

The Corporation ensures that faculty and staff fully understand the significance and purpose of compliance, whistleblowing mechanisms, and codes of conduct, making sure these frameworks function effectively through comprehensive training and awareness programs.

**Principle 2-4-3: Adherence to Research Ethics**

The Corporation fosters a high level of research ethics among its researchers by implementing ethics training programs and establishing self-regulatory policies such as the "Regulations on the Prevention of Research Misconduct" and the "Research Ethics Regulations of Aizu University Public University Corporation." These efforts ensure a research environment and support system rooted in strong ethical principles.

**Principle 2-4-4: Risk Preparedness and Internal Control System**

The Corporation operates an internal control system as stipulated in the "Aizu University Public University Corporation Administrative Procedures Manual," ensuring stability and soundness in management, education, research, and social contributions. Additionally, it continuously reviews this system while establishing mechanisms to prepare for various risks, including natural disasters and information security threats.

**Basic Principle 3: Advancement of Education and Research**

The university established and managed by the Corporation serves as a regional higher education institution. It ensures equal access to education, fosters highly skilled professionals who contribute to sustainable societal development through advanced education, promotes academic research that generates universal value, and provides intellectual contributions across various sectors of society. The university fulfills these diverse roles as a key academic institution.

To achieve this, the President ensures alignment with the objectives stipulated in Article 1 of the Articles of Incorporation and establishes a comprehensive academic management system across the institution. Furthermore, continuous review and improvement processes are implemented to enhance the quality of education and research.

**Principle 3-1: Realization of University-wide Academic Management**

**Principle 3-1-1: Clarification of Learning Goals and Policies**

The university establishes clear and concrete learning objectives, structuring its diploma policy, curriculum policy, and admission policy to ensure coherence and continuous improvement.

**Principle 3-1-2: Curriculum Design from the Perspective of Learners**



The university organizes its curriculum systematically and structurally to ensure that individual courses contribute effectively to the achievement of degree program goals while considering students' learning perspectives.

**Principle 3-1-3: Measurement and Visualization of Learning Outcomes**

The university monitors and evaluates educational and learning outcomes to ensure students acquire the intended competencies. This process helps students recognize and articulate their own academic progress.

**Principle 3-2: Establishment of an Internal Quality Assurance System to Improve the Level of Education and Research**

**Principle 3-2-1: Continuous Improvement of Educational and Research Activities through Self-Assessment**

Faculty-led initiatives ensure continuous improvement of education quality. The evaluation office conducts self-assessments in accordance with internal regulations, making these efforts transparent and accountable.

**Principle 3-2-2: Utilization of Monitoring and Accreditation Evaluations to Guarantee Quality Education**

The university employs continuous monitoring of learning outcomes and utilizes accreditation evaluations to maintain quality assurance in education. This process also ensures that learning outcomes meet the expectations of both students and society while actively disclosing relevant information.

**Basic Principle 4: Contribution to Local Communities**

Universities are expected to broadly contribute to societal development, as stipulated in Article 7, Paragraph 1 of the Fundamental Law of Education and Article 83, Paragraph 2 of the School Education Act. Additionally, Article 1 of the Corporation's Articles of Incorporation states that contributing to the industrial and cultural development of the Prefecture is a core objective of the Corporation.

The Corporation actively identifies and leverages historical and social contexts within the region to advance its education and research initiatives. By fostering new relationships with the local community, the Corporation fulfills its social role as a regional hub for education, research, and innovation.

**Principle 4-1: Building Trust with Stakeholders**

The Corporation recognizes that universities are integral to the development of local communities and strives to strengthen its relationship with various stakeholders, including the Prefecture, municipalities, industries, and residents.

**Principle 4-1-1: Establishing an Organic Relationship with the Prefecture**

The Corporation ensures that its activities align with the policy goals of the Prefecture by maintaining regular communication, formulating reasonable mid-term plans, and executing effective and efficient operations based on mutual trust.

**Principle 4-1-2: Strengthening Ties with Local Communities through Contributions**

The Corporation contributes to the development of the local community by fostering human resources, facilitating regional economic development, addressing societal challenges, and promoting diverse educational opportunities for local residents.

**Principle 4-1-3: Strengthening Financial Relations with the Community**

The Corporation enhances financial transparency and accountability to secure the trust of local government bodies, residents, and stakeholders who support the university's operations.

**Principle 4-2: Public Universities as Core Hubs for Regional Co-creation**

**Principle 4-2-1: Nurturing Human Resources to Support the Region**

The Corporation fosters high-quality human resources tailored to regional needs through collaboration with the local community, aiming to contribute to sustainable regional development.

**Principle 4-2-2: Creating Innovations that Support the Regional Economy and Society**

The Corporation actively promotes research and innovation to address regional challenges, facilitating interactions among diverse stakeholders and serving as a knowledge hub that generates new value for the community.

**Basic Principle 5: Response to Sustainability and Diversity in Society**

The Corporation is committed to contributing to the sustainable development of society while adapting to its diverse values. It proactively promotes the respect for human rights and the prevention of harassment, ensuring a safe and inclusive environment for all members of the university community.

**Principle 5-1: Contribution to a Sustainable Society**

The Corporation is committed to contributing to the development of a sustainable society by actively responding to the needs of the Prefecture, local communities, and industries while leveraging the university's resources and research achievements to benefit the region.

**Principle 5-2: Promotion of Diversity and Gender Equality**

The Corporation respects diversity and ensures that students, faculty, and staff can fully utilize their abilities regardless of gender, age, or disability status. Recognizing that societal progress is driven by diverse knowledge and perspectives, the Corporation proactively promotes gender equality in student career advancement, faculty recruitment, and the appointment of senior staff members.

**Principle 5-3: Respect for Human Rights and Prevention of Harassment**

The Corporation ensures that the human rights of students, faculty, and all individuals involved in university activities are respected. It fosters an organizational culture where every member takes personal responsibility for human rights protection and harassment prevention. Through systematic initiatives, the Corporation strives to create a safe and inclusive academic environment.