

**The General Plan on Management of Conflicts of Interest, the Public University Corporation,
the University of Aizu**

(Authorized by the Chairperson of the Board of Executives on June 28, 2010)

(Latest Revision: April 1, 2026)

Article One

(Objective)

1.1 The objective of this general plan is to contribute to active promotion of university-industry-government collaboration at the Public University Corporation, the University of Aizu (hereinafter referred to as the "UNIVERSITY") through the proper management of conflicts of interest stemming from activities conducted by executives, faculty, and/or administrative staff, etc. of the UNIVERSITY in accordance with the Management Policies Regarding Conflicts of Interest of the Public University Corporation, the University of Aizu (authorized by the Chairperson of the Board of Executives on June 28, 2010) (hereinafter referred to as "POLICIES").

Article Two

(Definition of Terms)

2.1 Definitions of terms used herein shall be the same as those stipulated in the POLICIES.

Article Three

(Individuals Subject to the General Plan)

3.1 Individuals who are subject to this general plan are as follows:

- (1) Executives of the UNIVERSITY and full-time or part-time personnel employed by the UNIVERSITY (hereinafter collectively referred to as "EXECUTIVES, FACULTY, AND STAFF"); and
- (2) Other individuals designated by the committee provided for in Article 5 herein.

Article Four

(Cases Applicable to the General Plan)

4.1 Cases which are subject to this general plan (hereinafter referred to as "APPLICABLE CASES") shall be as follows:

- (1) Cases where EXECUTIVES, FACULTY, AND STAFF (including their spouses and first-degree relatives living in the same household) hold any shares of stock (regardless of whether or not said shares are publicly offered), equity interests, stock options, or beneficiary interests in partners engaged in industry-academia-government collaboration activities with the UNIVERSITY

(2) Cases where EXECUTIVES, FACULTY, AND STAFF purchase items and/or subscribe to services exceeding a certain cost from partners prescribed in the preceding clause (However, this clause shall apply only if the total amount of purchase from the same organization by EXECUTIVES, FACULTY, AND STAFF during the previous fiscal year exceeds two million yen.)

(3) Cases where EXECUTIVES, FACULTY, AND STAFF (including their spouses and first-degree family members living in the same household) earn income as remunerations, honorariums or manuscript fees from universities, companies, or groups other than the UNIVERSITY (hereinafter referred to as “COMPANIES, ETC”) in connection with their duties as EXECUTIVES, FACULTY, AND STAFF (However, this clause shall apply only if the total amount of their income [including income of their spouses and first-degree family members living in the same household] received from the same organization during the previous fiscal year exceeds one million yen.)

(4) Cases where EXECUTIVES, FACULTY, AND STAFF have students engaged in activities for industry-academia-government collaboration with any partner specified in (1) or (3)

(5) Other than those provided for in the above-listed activities and cases, cases where there is a concern about EXECUTIVES, FACULTY, AND STAFF’s being perceived as receiving/giving benefit from/to COMPANIES, ETC. in connection with industry–academia–government collaboration activities of the UNIVERSITY

Article Five

(Committee for Conflicts of Interest)

5.1 The University of Aizu Committee for Conflicts of Interest (hereinafter referred to as the “COMMITTEE”) shall be established as a body to deliberate on conflicts of interest with respect to the APPLICABLE CASES set forth in the preceding article and to conduct administrative duties set forth in this general plan.

Article Six

(Matters within Responsibility of the COMMITTEE)

6.1 The COMMITTEE shall be responsible for the following matters:

- (1) Matters related to deliberation on individual cases of declaration and measures to be taken for relevant cases;
- (2) Matters related to investigative research and consultation regarding conflicts of interest;
- (3) Matters related to explanation to parties outside the UNIVERSITY, with respect to conflicts of interest investigated or received by the COMMITTEE; and
- (4) Other necessary matters concerning administration of this general plan.

Article Seven

(Members of the COMMITTEE)

7.1 The COMMITTEE shall be organized of the following members:

- (1) The Regent in Charge of Financial Affairs
- (2) The Director of the University-Business Innovation Center
- (3) The Dean of the Undergraduate School of Computer Science and Engineering
- (4) The Dean of the Graduate School of Computer Science and Engineering
- (5) The Director of the Research Center for Advanced Information Science and Technology
- (6) The Director General of the Department for Student Affairs, the University of Aizu
- (7) The Dean of the Junior College Division

7.2 Other than those individuals provided for in the preceding paragraph, the Chairperson of the Board of Executives may appoint learned individuals from outside the UNIVERSITY as COMMITTEE members.

Article Eight

(Term of Office)

8.1 The term of office of COMMITTEE members shall be two years. However, the term of office for persons listed in Article Seven, Paragraph 1, Items 1 through 7 shall be the term of their positions. Furthermore, the term of office of those individuals becoming new members as a result of a vacancy shall be the remainder of the vacated term.

8.2 COMMITTEE members can be reappointed.

Article Nine

(COMMITTEE Chairperson)

9.1 The positions of COMMITTEE Chairperson and Vice-Chairperson shall be established within the COMMITTEE.

9.2 The position of COMMITTEE Chairperson shall be served by the Regent in Charge of Financial Affairs and the position of Vice-Chairperson shall be served by the Director of the University-Business Innovation Center.

9.3 Should the COMMITTEE Chairperson be unable to fulfill their duties, the Vice-Chairperson shall fulfill these duties on the Chairperson's behalf.

Article Ten
(Matters for Deliberation)

10.1 The COMMITTEE Chairperson shall convoke COMMITTEE meetings and serve as chair thereof.

10.2 The COMMITTEE, if for which more than half of the members belonging thereto are not present, may not be convened.

10.3 A decision of the COMMITTEE shall be rendered by more than half of those members in attendance; and when there is an equal number of members supporting both sides of an issue, the COMMITTEE Chairperson shall render the decision.

10.4 The COMMITTEE Chairperson, Vice-Chairperson, and members of the COMMITTEE shall not be allowed to join the deliberation within the COMMITTEE, when issues related to them are deliberated on.

10.5 The COMMITTEE Chairperson shall report results of deliberations by the COMMITTEE to the Chairperson of the Board of Executives.

Article Eleven
(Hearing of Opinions)

11.1 When doing so is recognized by the COMMITTEE as necessary, the attendance of persons who are not members of the COMMITTEE can be asked to attend meetings for provision of opinions and/or explanations on relevant matters.

Article Twelve
(Declaration of APPLICABLE CASES, Etc.)

12.1 EXECUTIVES, FACULTY, AND STAFF must report situations regarding APPLICABLE CASES to the COMMITTEE by the end of April every fiscal year, along with the predetermined form, "Declaration on Conflicts of Interest (Form 1) (hereinafter referred to as "DECLARATION FORM.")

12.2 Notwithstanding the provisions in the preceding paragraph, EXECUTIVES, FACULTY, AND STAFF, when it becomes necessary for them to report situations regarding APPLICABLE CASES before the end of a fiscal year, may do so along with DECLARATION FORM above.

12.3 Notwithstanding the provisions of the preceding two paragraphs, EXECUTIVES, FACULTY, AND STAFF, even if they are not involved in any of the APPLICABLE CASES, may submit a report to that effect.

12.4 Notwithstanding the provisions of the preceding three paragraphs, the

Chairperson of the Board of Executives may request EXECUTIVES, FACULTY, AND STAFF to submit a DECLARATION FORM. If there is any doubt as to the content of the declaration, they may request to submit another declaration.

Article Thirteen

(Deliberation, Etc. on APPLICABLE CASES)

13.1 The COMMITTEE shall deliberate on Form 1 submitted to the COMMITTEE according to the provisions provided for in the preceding article and make judgment on the degree of necessity for management of conflicts of interest regarding APPLICABLE CASES. However, no deliberation shall be made with respect to the declarations in

Paragraph 3 of the preceding article if there is no doubt as to their content. The status of conflicts of interest may be reviewed in writing only for such declaration, if it is especially necessary to do so due to reasons such as a request by the declarant.

13.2 The COMMITTEE may conduct necessary investigations, such as having hearings for EXECUTIVES, FACULTY, AND STAFF, for deliberation by the COMMITTEE provided for in the preceding paragraph.

13.3 The COMMITTEE shall notify respective EXECUTIVES, FACULTY, AND STAFF of results of deliberation through "Notification Regarding Deliberation Results (Form 2)." At the same time, the COMMITTEE shall provide advice, instruction or warning (hereinafter collectively referred to as "ADVICE, ETC.") to respective EXECUTIVES, FACULTY, AND STAFF, depending on the degree of necessity for management of conflicts of interest.

13.4 When the COMMITTEE gives ADVICE, ETC. provided for in the preceding paragraph, it will place due consideration on the circumstances regarding the case as it pertains to the relevant EXECUTIVES, FACULTY, AND STAFF.

13.5 The COMMITTEE shall periodically report to the Chairperson of the Board of Executives the results of the deliberations stipulated in Paragraph 1 of this article and the status of the declarations stipulated in Paragraph 3 of the preceding article.

Article Fourteen

(Petition of Objection)

14.1 EXECUTIVES, FACULTY, AND STAFF, when they receive the notification provided for in Paragraph 13 of the preceding article and if they disagree with the decision, may raise a petition of objection to the COMMITTEE to request re-deliberation on respective cases.

14.2 When the COMMITTEE receives a petition of objection provided for in the preceding paragraph, it will re-deliberate the relevant case and notify the relevant EXECUTIVES, FACULTY, AND STAFF of results of the re-deliberation.

Article Fifteen

(Activities for Raising Awareness)

15.1 The COMMITTEE shall carry out activities for raising awareness regarding conflicts of interest through holding of seminars, etc. for EXECUTIVES, FACULTY, AND STAFF.

15.2 The COMMITTEE shall make efforts to accumulate information regarding conflicts of interest and provide accumulated information to EXECUTIVES, FACULTY, AND STAFF whenever necessary.

Article Sixteen

(Consultations)

16.1 Upon request from EXECUTIVES, FACULTY, AND STAFF, the COMMITTEE shall provide both consultation and advice regarding conflicts of interest to EXECUTIVES, FACULTY, AND STAFF.

Article Seventeen

(Confidentiality)

17.1 Individuals engaged in the duties provided for in this general plan are obliged to keep the matters they have come to know by engagement in their duties strictly confidential. This shall apply to them after they have vacated positions which entail carrying out work related to the COMMITTEE.

17.2 Information on the report form and other forms submitted by EXECUTIVES, FACULTY, AND STAFF must not be disclosed to the outside of the UNIVERSITY, and those documents must be stored under careful management for five years, and must be discarded after this period.

Article Eighteen

(Disclosure of Information)

18.1 The COMMITTEE shall assume accountability to third parties regarding the reporting and deliberation results provided for between Article 12 and Article 14 herein.

Article Nineteen

(Business Office)

19.1 Miscellaneous affairs regarding management of this general plan shall be performed by the Planning and Collaboration Division of the Administrative Office.

Article Twenty
(Miscellaneous Affairs)

20.1 Other than those provided for in this general plan, matters necessary for management of this general plan shall be determined separately by the Chairperson of the Board Executives.

ADDITIONAL PROVISIONS

1. This general plan shall be enforced as of June 28, 2010.
2. Notwithstanding the provisions provided for in Article 8, Paragraph 1 herein, the term of office of the members initially selected after the reinforcement of this general plan shall be until March 31, 2012.

ADDITIONAL PROVISIONS

1. This general plan shall be enforced as of June 8, 2014.

ADDITIONAL PROVISIONS

1. This general plan shall be enforced as of August 29, 2023.

ADDITIONAL PROVISIONS

1. This general plan shall be enforced as of April 1, 2026.