

**The Outline for the Establishment of the Office for the Compliance Promotion of the
Public University Corporation, the University of Aizu**

(Enacted March 31, 2015)

Article One

(Purpose)

1.1 In order to promote the Impropriety Prevention Plan established in accordance with Article 5, Paragraph of the Regulations Concerning the Handling of Public Research Funds, the Public University Corporation, the University of Aizu (hereinafter, "Research Funds Regulations."), the University of Aizu Office for the Compliance Promotion (hereinafter, "Promotion Office.") shall be established.

Article Two

(Definitions)

2.1 The terminology used within these guidelines shall be as defined in the Research Funds Regulations.

Article Three

(Organization)

3.1 The Promotion Office shall be organized of the following individuals.

- a. Chief Operating Officer
- b. Chief Compliance Officer
- c. Director of the General Affairs and Budget Division
- d. Director of the Planning and Collaboration Division
- e. A few other individuals designated by the Chief Executive Officer

3.2 Other than those provided for in Paragraph 1, the Promotion Office may additionally include external experts as its members as necessary, following deliberation. However, the Promotion Office must additionally include at least an external expert as a member when carrying out an investigation on misappropriation of Public Research Funds.

3.3 When carrying out an investigation on misappropriation of Public Research Funds, the Promotion Office shall additionally include the director of the division/center with which the faculty member to be investigated is affiliated as a member.

Article Four

(Chairperson and Vice Chairperson)

- 4.1 One position for Chairperson and Vice Chairperson respectively shall be established in the Promotion Office.
- 4.2 The Chief Operating Officer shall serve as the Chairperson.
- 4.3 The Chief Compliance Officer shall serve as the Vice Chairperson.
- 4.4 The Vice Chairperson shall assist the Chairperson and shall serve as the proxy of the Chairperson should he or she be unable to fulfill his or her duties.

Article Five

(Duties)

- 5.1 The Promotion Office shall handle the following matters.
- a. Development of an Impropriety Prevention Plan.
 - b. Ascertainment and analysis of the risk of misappropriation occurring in relation to the management and operation of Public Research Fund.
 - c. Lowering the risk of misappropriation occurring.
 - d. Development of the Code of Conduct Public Regarding the Use of Public Research Funds at the UoA (hereinafter, "Code of Conduct.").
 - e. Investigation on the misappropriation of Public Research Funds as provided in the Research Funds Regulations.
 - f. Prevention of collusion with vendors, and punishment of vendors who conduct inappropriate transactions.
 - g. Other duties related to the promotion of the Impropriety Prevention Plan.

Article Six

(Meetings)

- 6.1 Meetings of the Promotion Office shall be called as needed by the Chairperson, who will chair those meetings.
- 6.2 Meetings cannot be held without attendance by a majority of the committee members.
- 6.3 In the event that the proceedings of a meeting handles an investigation as provided for in Paragraph 1, Item 5 of the previous article, and a member is involved in that investigation, that member may not be called to the meeting.
- 6.4 When determined to be necessary by the Chairperson, non-members may be requested to attend meetings and provide explanations or opinions.
- 6.5 Votes on proceedings at meetings shall be decided by a majority vote of the

members in attendance. In the event of a tied vote, the chairperson shall make the final decision.

Article Seven

(Other)

7.1 Other than as provided by these regulations, necessary matters regarding the Promotion Office shall be determined separately by the Chairperson.

ADDITIONAL PROVISIONS

1. This outline shall be enforced as of March 31, 2015.
2. The Outline for Establishment of an Office for Promotion of Measures for Prevention of Inappropriate Conduct Regarding Research Funds, Etc. (April 1, 2008) shall be abolished.

ADDITIONAL PROVISIONS

1. This outline shall be enforced as of June 23, 2016.