

## Regulations Pertaining to the Code of Ethics of National University Corporation the University of Osaka

***Note: The document below is an English translation of the University Work Regulations, originally composed in Japanese. The English version of the Work Regulations has been provided merely as a reference for international researchers and employees. Therefore, it should not be considered an official employment contract. Please note that any and all official employment contracts are concluded solely on the basis of the Japanese version of the Work Regulations.***

### Chapter 1: General Provisions

#### (Purpose)

Article 1: The purpose of these regulations shall be to ensure the trust of the citizens in the work carried out by National University Corporation the University of Osaka (hereinafter referred to as "The University") according to guarantee fairness in the discharge of duties of public character by The University through the implementation of measures necessary to enforce the ethical conduct pertaining to the duties of employees who are employed by The University (hereinafter referred to as "Employee(s)").

#### (Definitions)

Article 2: The term "business people" shall be used in these regulations to refer to corporations, other organizations and persons who operate businesses.

2. The term "business people" as define in the foregoing paragraph shall also apply to persons acting for the purpose of generating profit for business people.

3. The "stakeholder(s)" shall be used in these regulations to refer to persons cited in each of the categories hereunder engaged in the work stated in the said categories.

(1) Work relating to commodity purchase contracts: Business people concluding such contracts and apparently either applying or attempting to apply for such contracts.

(2) Work relating to joint-research or commissioned research contracts: Business people concluding such contracts and apparently either applying or attempting to apply for such contracts.

(3) Work relating to determination of persons passing university entrance examinations: Persons applying for enrolment in The University and other related persons.

(4) Wok relating to determination of graduation or course completion: Students targeted by said determination of graduation or course completion.

(5) Work relating to determination of punitive measures against students, etc.: Students, etc. subjected to said punitive measures.

(6) Work relating to determination of persons employed as Employee: Persons wishing to be employed as Employee and other related persons.

4. In cases where a person who was stakeholder of an Employee in his/her work and who continues to be a stakeholder, after the Employee transferred, of other Employee in said work, the person shall be deemed to be a stakeholder of the transferred employee for 3 years calculated from the day of transfer (or up to the day which the person ceases to be a stakeholder of the other Employee in said work for said 3 years).

5. In cases where it is apparent that a stakeholder of other Employee is in contact with an Employee for the purposes of personal gain by causing said Employee to exercise influence based on the work to said other Employee, said stakeholder of said other Employee shall be deemed to be a stakeholder of said Employee.

#### (Ethical Supervisors)

Article 3: The University shall appoint an Ethical Supervisor for the purpose of ensuring ethical correctness in discharge of duties by Employee.

2. The University shall select a trustee for appointment to the post of Ethical Supervisor.

#### (Responsibilities of The University)

Article 4: The University shall bear the following responsibilities with respect to implementation of the provisions of these regulations.

(1) Consolidation of a system to ensure maintenance of ethical correctness in the performance of duties by Employee.

- (2) In case of the possibility that an Employee may commit an act in violation of these regulations, The University shall immediately initiate an investigation and, in cases where a violation of said regulations is deemed to exist, appropriate measures must be implemented impartially.
- (3) The University shall make consideration that an Employee shall not be exposed to disadvantageous treatment for reason of being reported to an Ethical Supervisor or other appropriate body with respect to violation of these regulations.
- (4) The University shall strive to maintain and promote ethical standards among Employee through training and other appropriate measures.

(Responsibilities of Ethical Supervisor)

Article 5: With respect to the implementation of the matters stipulated in these regulations, the Ethical Supervisor shall bear the following responsibilities.

- (1) Implementation of consultations with Employees and provision of guidance and advice.
- (2) Investigation of whether the relationship between Employees and businesspeople may invite the discredit and distrust of citizens, and provision of necessary guidance and advice to Employees regarding the maintenance of ethical standards based on the results of said investigation.

2. The Ethical Supervisor shall be entitled to delegate part of their work to other Employees.

(Criteria for Ethical Acts)

Article 6: Employees shall maintain pride in their employment and act in strict accordance with the following standards to ensure ethical conduct in the performance of their duties, with an awareness of the mission of the University.

- (1) Employees shall not act in a discriminatory manner toward others and shall at all times discharge their duties with fairness and impartiality.
- (2) Employees shall not at any time use their duties or position for the personal gain of organizations to which said Employees belong.
- (3) Employees shall not indulge in acts such as acceptance of gifts, etc. from persons affected by the exercise of the rights of said Employees.
- (4) Employees shall, at all times including time outside working hours, act with an awareness of the influence of their acts on the reputation of The University.

(Consultation with Ethical Supervisor)

Article 7: In cases where an Employee may not determine whether or not the person affected by the actions of said Employee shall be appropriate a stakeholder, or whether or not acts occurring between said Employee and stakeholder constitute an act defined in the provisions of Paragraph 1, next Article, said Employee shall consult the Ethical Supervisor.

## Chapter 2: Acts Prohibited between Employees and Stakeholders

(Prohibited Acts)

Article 8: Employees shall not indulge in the acts detailed hereunder.

- (1) Acceptance from stakeholders of gifts in the form of money, commodities or real estate (including farewell gifts, congratulatory gifts, condolence money or flowers and other similar gifts).
- (2) Acceptance of loans from stakeholders (limited to non-interest or low-interest loans in the case of loans from professional moneylenders).
- (3) Acceptance of gratuitous loans of commodities or real estate from stakeholders or shouldered by stakeholders.
- (4) Acceptance of gratuitous service from stakeholders or shouldered by stakeholders.
- (5) Acceptance of private equities from stakeholders (shares not listed on the financial instruments exchanges in accordance with the provisions of Paragraph 16, Article 2 of The Financial Instruments and Exchange Act (Law No. 25 of 1948) and not registered in the over-the-counter securities transaction register in accordance with Paragraph 1, Article 67-11 of the said law).
- (6) Acceptance of hospitality from stakeholders.
- (7) Engaging recreational activities or golf with stakeholders.
- (8) Taking trips with stakeholders (excluding trips taken for the purpose of work).
- (9) Making stakeholders perform the acts listed in the preceding items for third parties.

2. Notwithstanding the provisions of the foregoing paragraph, Employees may indulge in the acts detailed hereunder.
- (1) Acceptance of gifts from stakeholders in the form of commodities or mementos intended for advertising purposes and in general distribution.
  - (2) Acceptance of gifts in the form of mementos from stakeholders at buffet-style parties attended by large numbers of guests (gatherings at which food and drink are served buffet style. This shall also apply hereinafter).
  - (3) Use of commodities provided by stakeholders on the occasion of visits to such stakeholders for work purposes.
  - (4) Use of automobiles (only those used regularly by said stakeholders for the purposes of work) provided by stakeholders for visits to such stakeholders for work purposes (only in cases where use of such automobiles shall be deemed appropriate, considering transport conditions and other circumstances in the vicinity of the offices ).
  - (5) Acceptance of beverages such as tea and confectionary provided by stakeholders at meetings attended for work purposes.
  - (6) Acceptance of food and beverages provided by stakeholders at buffet-style parties attended by large numbers of guests or having of food and beverages with said stakeholders or having meals or drinks with stakeholders.
  - (7) Acceptance of simple food and beverages provided by stakeholders at meeting attended for the purpose of work or having of food and beverages with said stakeholders or having simple food and beverages with stakeholders.
3. Cases where an Employee (the acts set forth in Item 9, Paragraph 1, refer to the third party specified in the same Item. The same shall apply hereinafter) purchases commodities or real estate from stakeholders, accepts the loan of commodities or real estate from stakeholders or accepts the service from stakeholders and where comparison reveals that the amount paid in consideration by said Employee does not equate with accepted social standards, shall be deemed to fall into the category of gifts as defined in Item 1, Paragraph 1.

(Exceptions to Prohibited Acts)

Article 9: Notwithstanding the provisions of Item 1 of the foregoing article, the acts detailed therein shall be deemed permissible in cases where an Employee shares a personal relationship with a stakeholder (relationship not connected to their status as an Employee. This shall also apply hereunder.), and where the status of the interest with said stakeholder in the work, the background and current status of said personal relationship with said stakeholder, and the circumstances pertaining to the act under consideration are recognized as not resulting in disrepute of a loss of public trust in the Employee's ability to execute their duties fairly and impartially.

(Notification for having food and drinks with stakeholders)

Article 9-2:

When Employees have food and drinks with stakeholders, and the stakeholders do not bear the cost of the Employees' meals, those Employees must, except in the cases listed below, submit a report to the Ethics Supervisor in advance if their meal cost exceeds a separately specified amount. However, if advance notification is impossible due to unavoidable circumstances, the report must be submitted promptly afterward.

- (1) Acceptance of food and beverages provided by stakeholders at buffet-style parties attended by large numbers of guests.
- (2) In case when Employees have food and drinks with stakeholders with whom they have a personal relationship, and their meal is paid for by themselves or a non-stakeholder related to them.

(Regulations Pertaining to Lectures)

Article 10: Cases where an Employee, at the request of a stakeholder intends to appear at lectures, debates, training sessions, or to take part in teaching, imparting of knowledge, writing, supervision at training sessions, or to appear on radio or television programs (excluding cases those performed as outside assignment, in accordance with the Regulations Pertaining to Outside Assignment of National University Corporation the University of Osaka Staff; hereinafter referred to as "lectures, etc."), said participation or appearances to be subject to remuneration, shall be subject from the prior permission of the Ethical Supervisor.

2. In cases where the remuneration cited in the foregoing item is deemed, in light of the type and content of the work carried out by the Employee, by the Ethical Supervisor to result in disrepute of a loss of public trust in the Employee's ability to execute their duties fairly and impartially, permission for such lectures, etc. shall not be granted.

### Chapter 3: Prohibited Acts between Employees and Persons other than Stakeholders

(Prohibited acts between Employees and Persons other than Stakeholders)

- Article 11: Employees shall not accept hospitality that exceeds normal levels of socialization or proprietary profits from businesses, even those that do not fall in to the category of stakeholders.
2. With respect to the purchase of commodities or real estate, or acceptance of loans or service provided by an Employee, said Employees shall not make business people who are not present at the place of the foregoing transactions bear the burden of payment for them.

### Chapter 4: Responsibility of Employees in the Position of Ethical Supervisor to Reports

(Reports on and Investigation of Gifts)

- Article 12: An Employee in the position of Ethical Supervisor (designated service as defined in the provisions of Item 2, Article 3 of The Salary Regulations for National University Corporation the University of Osaka Staff [hereinafter referred to as "The Salary Regulations for University Staff"] and Item 2, Article 3 of The Salary Regulations for National University Corporation the University of Osaka Limited Term Staff [hereinafter referred to as "The Salary Regulations for Limited Term Staff"] as well as administrative service defined in the provisions of Item 1, Article 25 of The Salary Regulations for University Staff, Item 1, Article 13 of The Salary Regulations for National University Corporation the University of Osaka Staff Subject to Annual Salary System, Item 1, Article 22 of The Salary Regulations for National University Corporation the University of Osaka Staff Subject to New Annual Salary System, Item 1, Article 24 of The Salary Regulations for Limited Term Staff, Item 1, Article 14, of the Salary Regulations for National University Corporation the University of Osaka Limited Term Staff Subject to Annual Salary System, Item 1, Article 21, of the Salary Regulations for National University Corporation the University of Osaka Limited Term Staff Subject to New Annual Salary System and Item 4, Article 19 of The Salary Regulations for National University Corporation the University of Osaka Limited Term Commissioned Staff. This shall also apply hereinafter.) shall submit to The University a report on gifts, etc. for each of the periods January through March, April through June, July through September and October through December (hereinafter referred to as "quarterly periods"). The report shall be submitted no later than 14 days after the first day of the quarterly period following the quarterly period to which the report refers. The report shall detail incidents of receiving money, commodities, or other proprietary profits or hospitality from business, etc. (hereinafter referred to as "gifts, etc."), or incidents of receiving payment for providing human services based on relationships arising from work between businesspeople, etc. and Employees. (However, this excludes cases where the profit arising from receiving the gifts, etc. in question, or where the amount of remuneration received is less than 5,000 yen).
2. The University shall implement investigation based on the reports on gifts, etc. detailed in the foregoing item.

(Remuneration)

- Article 13: The remuneration cited in the foregoing article shall refer to remuneration falling into any of the categories hereunder.
- (1) Remuneration for lectures, etc. from businesses, etc. falling into the category of stakeholders.
  - (2) Remuneration for lectures, etc. from businesses, etc. not falling into the category of shareholders in cases where said lectures are clearly carried out by the Employee in question and relate to matters connected to the present or past work of said Employee.
2. The remuneration cited in Item 2 of the foregoing paragraph shall not include cases of remuneration for lectures, etc. based on the results of research carried out by the Academic Staff in question.

(Storage and Viewing of Reports)

- Article 14: The University shall store reports on gifts, etc. in accordance with the provisions of Paragraph 1,

Article 12 for a period of 5 years calculated from the day following the last day of the period during said reports are to be submitted.

2. The University shall restrict persons entitled to request permission to view reports on gifts, etc., stored in accordance with the foregoing paragraph (only portions showing receipt of profit arising from acceptance of gifts, etc., or payment of remuneration of 20,000 yen per incident). However, such reports of gifts, etc., may only be viewed from the day following the 60-day period after the deadline for submitting said reports.
3. The University shall be entitled to stipulate the place where reports on gifts, etc. may be viewed.

## Chapter 5: Miscellaneous Provisions

### (Implementation of Regulations)

Article 15: Matters necessary to the implementation of these regulations shall be determined separately.

#### Supplementary Provision

These regulations shall be implemented from 14 April 2004 and applied from 1 April 2004.

#### Supplementary Provision

The foregoing amendments shall be implemented from 1 April 2010.

#### Supplementary Provision

The foregoing amendments shall be implemented from 1 April 2013.

#### Supplementary Provision

The foregoing amendments shall be implemented from 1 January 2014.

#### Supplementary Provisions

The foregoing amendments shall be implemented from 1 April 2015.

#### Supplementary Provision

The foregoing amendments shall be implemented from 1 April 2015.

#### Supplementary Provision

The foregoing amendments shall be implemented from 1 April 2021.

#### Supplementary Provision

The foregoing amendments shall be implemented from 1 April 2025.