

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

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 official employment contracts have been 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 Osaka University (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 staff 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 item shall also apply to persons acting for the purpose of generating profit for business people.
3. The "stakeholders" 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. Persons who were stakeholders in work prior to Employee transfers and who continue stakeholders in said work discharged by other Employee shall be deemed to be stakeholders in the work of the Employee engaged in said work for a period of 3 years calculated from the day of transfer of said Employee (or up to the day within said period on which said stakeholder ceases to be a stakeholder in the work concerned discharged by a different Employee).
5. In cases where it is apparent that the stakeholder of another Employee is in contact with said Employee for the purposes of personal gain by causing said Employee to exercise influence based work of the same, 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 discharge of duties by Employee.
- (2) In cases where 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, implement appropriate measures with impartiality.

(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 endeavor to maintain and foster ethical standards of Employee by the implementation of 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 circumstances pertaining to the relationship between Employees and business people that may invite the discredit and distrust of citizens and, based on the results of said investigation, provision of the necessary guidance and advice to such Employees pertaining to maintenance ethical standard of duties of Employees.

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 as an Employee and shall, with an awareness of the mission of The University, act in strict accordance with the following standards in order to maintain ethical correctness in the discharge of their duties.

(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 Item 1, Article 8, 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 (only 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 Item 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 Item 1, Article 67-11 of the said law).

(6) Acceptance of hospitality from stakeholders.

(7) Having meals or drinks with stakeholders.

(8) Engaging recreational activities or golf with stakeholders.

(9) Taking trips with stakeholders (excluding trips taken for the purpose of work).

2. Notwithstanding the provisions of the foregoing item, 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 automobiles used regularly by said stakeholders for the purposes of work) provided by stakeholders on the occasion of visits to such stakeholders for work purposes (only in cases where use of such automobiles shall be deemed as appropriate in consideration of transport conditions and other circumstances in the vicinity of the offices of said stakeholders).
 - (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.
 - (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.
 - (8) Having of food and beverages with stakeholders at the expense of the member of Academic Staff in question. However, in cases where said having of food and beverages with stakeholders is meeting or other gathering attended for the purposes of business discussions taking place in the evening and does not fall into simple meals, the foregoing provision shall apply only in cases where permission has been obtained from the Ethical Supervisor in recognition of the fact that said circumstances do not result in disrepute of a loss of public trust towards the Employee ability to execute their duties with fairness and impartiality.
3. Cases where an Employee 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 No.1, Item 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 Academic Staff. This shall also apply hereunder.) and where the status of the interest with said stakeholder in the work, the background to and current status of said personal relationship with said stakeholder and the circumstances pertaining to the act under consideration are recognized as not result in disrepute of a loss of public trust towards the Employee's ability to execute their duties with fairness and impartiality.

2.Cases where an Employee has food and beverages with a stakeholder with whom said Employee shares a personal relationship arising from such circumstances as working in the same department, etc., attending the training courses held by The University or participating in the same training courses attended outside The University to which said Employee was dispatched by The University, shall, notwithstanding the terms of Provision 7, Item 1 of the foregoing article, be permitted provided that the socialization in question is attended by a large number of persons other than said stakeholder and that the Employee concerned pays their own share of the cost of the food and beverages consumed.

(Regulations Pertaining to Lectures)

Article 10: Cases where an Employee, at the request of a stakeholder wishes to appear at lectures, debates, training sessions, or a take part in teaching, imparting of knowledge, writing, supervision at training sessions, or to appear on radio or television programs (excluding cases where permission for outside assignment has been granted, or where notice is omitted in cases of short-term outside assignment that meets the criteria for granting permission; 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 in question, by the Ethical Supervisor to result in disrepute of a loss of public trust towards the Employee ability to execute their duties with fairness and impartiality, 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 accept neither hospitality in excess of normal levels of socialization nor provision of proprietary profit 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 implemented by an Employee, said Employees shall not cause business people not present at the place of the foregoing transactions to bear the burden of payment for the same.

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 Rules Pertaining to Salary for National University Corporation Osaka University Staff [hereinafter referred to as "The Rules Pertaining to Salary for University Staff"] and Item 2, Article 3 of The Rules Pertaining to Salary for National University Corporation Osaka University Limited Term Staff [hereinafter referred to as "The Rules Pertaining to Salary for Limited Term Staff"] as well as administrative service defined in the provisions of Item 1, Article 25 of The Rules Pertaining to Salary for University Staff and Item 1, Article 24 of The Rules Pertaining to Salary for Limited Term 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"), said report to be submitted no later than 14 days after the first day of the quarterly period following the quarterly period to which said report refers, said report to detail incidents of receipt from businesses, etc. of provision of money, commodities or other proprietary profit or hospitality (hereinafter referred to as "gifts, etc."), or incidents of receipt of payment of remuneration pertaining to provision of human service based on relationships arising from work between business people, etc. and University Staff (excluding, however, cases where the profit arising from receipt of 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 member of University Staff in question and relate to matters connected to the present or past work of said member of University Staff.

2. The remuneration cited in No.2 of the foregoing item shall not include cases of remuneration for lectures, etc. based on the results of research carried out by the member of University Staff in question.

(Storage and Viewing of Reports)

Article 14: The University shall store reports on gifts, etc. in accordance with the provisions of Item 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. There shall be restriction persons entitled to request permission from The University to view reports on gifts, etc. stored in accordance with the provisions of the foregoing item (only portions showing receipt of profit arising from acceptance of gifts, etc. or payment of remuneration in the amount of 20,000 yen per incident). However, such reports of gifts, etc. may only be viewed from the day following the day on which a period of 60 days elapses calculated from the day after the deadline for submission of 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: Items necessary to the implementation of these regulations shall be determined separately.

Supplementary Provision

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

Supplementary Provision

The foregoing amendments shall be implemented from 1st April 2010.