

\* The Japanese version is the authoritative version, and this English translation is intended for reference purposes only. Should any discrepancies or doubts arise between the two versions, the Japanese version will prevail.

## **The University of Tokyo Basic Rules on Compliance**

March 24, 2011

Board Resolution

The University of Tokyo Rules No.64

### **Contents**

Chapter 1 General Provisions (Article 1 - Article 3)

Chapter 2 Structure for the Promotion of Compliance (Article 4 - Article 7)

Chapter 3 Prevention of Compliance Irregularities (Article 8, Article 9)

Chapter 4 Response to Compliance Irregularities (Article 10 - Article 18)

Chapter 5 Miscellaneous Provisions (Article 19)

Supplementary Provisions

### **Chapter 1 General Provisions**

#### **Article 1 Purpose**

The purpose of these rules is to establish the basic matters concerning compliance at the National University Corporation, the University of Tokyo (hereinafter referred to as the “University”) and thereby to contribute to the maintenance of a sound and proper management of the University and public confidence in the University.

#### **Article 2 Definitions**

In these rules, the meanings of the terms listed in the following items shall be as prescribed respectively in those items:

- (1) “Compliance” means observance of laws, the University rules and regulations, and other norms such as ethics inherent in education and research.
- (2) “Academic and administrative staff” means executive, academic and administrative staff (including fixed-term project staff, fixed-term part-time staff, and fixed-term part-time project staff) who belong to the University.
- (3) “Students” mean undergraduate and graduate students who belong to the University.
- (4) “Academic organization” means university-wide organizations and university

academic organizations listed in Chapters 3 and 4 of the University of Tokyo Rules on Basic Organization, the Secondary School attached to the Faculty of Education, and the University of Tokyo Hospital.

- (5) A “compliance irregularity” means a case which violates or is suspected of violating laws applicable to members of the University or the University rules and regulations.

### **Article 3 Responsibilities of academic and administrative staff and students**

Academic and administrative staff and students shall maintain awareness of their own responsibilities, fully recognize the importance of compliance, respect human rights, and act with high ethical standards in order to achieve the goals and principles of the Charter of the University of Tokyo.

## **Chapter 2 Structure for the Promotion of Compliance**

### **Article 4 Chief Compliance Officer**

The President shall be ultimately responsible for the implementation of compliance procedures within the University.

### **Article 5 Senior Compliance Officer**

1. The University shall have a Senior Compliance Officer in order to have him/her supervise operations concerning compliance.
2. The Senior Compliance Officer shall supervise the Executive Vice Presidents in dealing with compliance irregularities.
3. An Executive Vice President designated by the President shall serve as the Senior Compliance Officer.

### **Article 6 Compliance Officer**

1. Each academic organization shall have the Compliance Officer specified in Appended Table 1 in order to have him/her supervise the promotion of compliance at each academic organization.
2. The Executive Vice President shall supervise the execution of the duties by the Compliance Officer set forth in the preceding paragraph pertaining to compliance irregularities under the Executive Vice President’s jurisdiction.

### **Article 7 Compliance Oversight Committee**

1. The Compliance Oversight Committee (hereinafter referred to as the “Compliance

Committee”) shall be established in the University.

2. The Compliance Committee shall conduct comprehensive deliberations concerning overall verification and plans for prevention of compliance irregularities, and deliver its opinion concerning appropriate measures (including internal audit) to the President as necessary.
3. The Compliance Committee shall consist of the Senior Compliance Officer, Executive Vice Presidents, and others appointed by the Senior Compliance Officer.
4. The Senior Compliance Officer shall serve as Chairperson of the Compliance Committee.
5. In addition to what is provided for in the preceding paragraph, matters necessary for the operation of the Compliance Committee shall be specified separately.

#### **Article 7-2 Compliance Oversight Office**

1. The Compliance Oversight Office (hereinafter referred to as the “Compliance Office”) shall be established under the Compliance Committee.
2. The Compliance Office shall plan and coordinate the operation of the Compliance Committee and supervise practical operations of the investigation conducted by the Senior Compliance Officer set forth in paragraph 1 of Article 14.

### **Chapter 3 Prevention of Compliance Irregularities**

#### **Article 8 Education and Training**

1. The Senior Compliance Officer shall endeavor to establish a university-wide education and training system for academic and administrative staff, students, and other members of the University to raise their awareness of the importance of compliance and increase understanding of the laws and rules to be complied with.
2. The Senior Compliance Officer shall grasp the situation regarding education and training pertaining to compliance and take measures such as providing the Compliance Officers with the necessary instructions in order to perform his/her duty set forth in the preceding paragraph.

#### **Article 9 Internal audits**

1. The President shall conduct internal audits concerning compliance irregularities of a specific academic organization or the whole University as necessary.
2. Based on the result of internal audits set forth in the preceding paragraph, the Senior Compliance Officer and the Compliance Officers shall endeavor to enhance activities

for the prevention of compliance irregularities.

## **Chapter 4 Response to Compliance Irregularities**

### **Article 10 Report**

1. On becoming aware of compliance irregularities, academic and administrative staff shall report the matter promptly to their superior or to the Compliance Officer.
2. On becoming aware of compliance irregularities, students shall endeavor to report the matter promptly to academic and administrative staff of the academic organization to which they belong.
3. The academic and administrative staff who receives the report set forth in the preceding two paragraphs shall report the compliance irregularity to the Compliance Officer.
4. The Compliance Officer who receives the report set forth in the preceding paragraph shall report such compliance irregularities as he/she finds important to the Executive Vice President who has jurisdiction over the said matter.
5. The Executive Vice President who receives the report set forth in the preceding paragraph shall report such compliance irregularities as he/she finds important to the Senior Compliance Officer.

### **Article 11 Hotlines**

1. When there is a justifiable reason for not making a report set forth in paragraphs 1 and 2 of the preceding Article, academic and administrative staff and students may report through the hotlines specified in Appended Table 2.
2. The Executive Vice President who receives the report set forth in the preceding paragraph shall report such compliance irregularities as he/she finds important to the Senior Compliance Officer.

### **Article 12 Provision of Information**

The provision of the preceding two Articles shall not preclude members of the University other than academic and administrative staff and students from providing academic and administrative staff with information on compliance irregularities or using the hotlines set forth in paragraph 1 of the preceding Article.

### **Article 13 Responsibilities of Reporters**

A person who reports a compliance irregularity (hereinafter referred to as a “reporter”)

shall do so based on objective and reasonable grounds and shall not do so with a purpose of defamation or any other wrongful purpose.

**Article 14 Investigation procedures concerning academic and administrative staff**

1. The Senior Compliance Officer who receives the report set forth in paragraph 5 of Article 10 or paragraph 2 of Article 11 pertaining to academic and administrative staff shall request the head of the academic organization or an Executive Vice President to conduct an investigation of the facts concerning the compliance irregularities as necessary; provided, however, that this shall not preclude the Senior Compliance Officer from conducting the investigation himself/herself such as establishing a new commission under the direct control of the Senior Compliance Officer.
2. The head of the academic organization and the Executive Vice President shall report the result of the investigation set forth in the preceding paragraph to the Senior Compliance Officer.
3. Academic and administrative staff shall cooperate with the investigation set forth in paragraph 1 when so requested.
4. The Senior Compliance Officer shall take appropriate action such as reporting the facts of compliance irregularities and measures for preventing a recurrence to the President based on the result of the investigation set forth in paragraph 2.
5. The Senior Compliance Officer shall, when he/she deems it necessary based on the result of the investigation set forth in paragraph 2, report to the President about subjecting the compliance irregularities to the disciplinary proceedings upon consulting with the Executive Vice President in charge of the matter.

**Article 15 Investigation procedures concerning students**

1. Compliance irregularities pertaining to students shall be investigated appropriately with educational consideration on the responsibility of the head of the academic organization to which the students belong, and educational guidance shall be provided based on the result of the investigation as necessary.
2. The head of the academic organization shall, when he/she deems there is an act that may warrant a disciplinary action based on the result of the investigation set forth in the preceding paragraph, take appropriate actions such as notifying the President of his/her opinion based on the University of Tokyo Regulations on Disciplinary Action against Students.

**Article 16 Appropriate consideration on dealing with compliance irregularities**

The Senior Compliance Officer and the Compliance Officers shall take the necessary measures so that sufficient consideration is given to the following items when dealing with compliance irregularities at the University:

- (1) To prevent a reporter or any person who cooperates with the investigation from disadvantageous treatment.
- (2) Not to unduly violate the honor and privacy of the person who is subject of the investigation.
- (3) To ensure objectivity and fairness in the investigation, such as the participation of an external specialist as deemed necessary.

**Article 17 Measures taken by the President**

The President shall, when receiving the report or notification set forth in paragraphs 4 and 5 of Article 14 or paragraph 2 of Article 15, suspend the illegal acts, etc. or restore to a lawful state as necessary, and take necessary measures such as the prevention of recurrence and disciplinary action.

**Article 18 Accountability**

A compliance irregularity shall be reported to related agencies appropriately and be disclosed to the public in an appropriate time and manner as necessary, taking the social impact of the said matter into consideration.

**Chapter 5 Miscellaneous Provisions**

**Article 19 Miscellaneous Provisions**

In addition to what is provided for in these rules, necessary matters concerning the implementation of these rules shall be provided separately.

**Supplementary Provisions**

These rules shall come into force on March 24, 2011

**Supplementary Provisions**

These rules shall come into force on April 1, 2011

**Supplementary Provisions**

These rules shall come into force on July 1, 2011

**Supplementary Provisions**

These rules shall come into force on July 26, 2011

**Supplementary Provisions**

These rules shall come into force on October 1, 2011

**Supplementary Provisions**

These rules shall come into force on April 1, 2012

**Supplementary Provisions**

These rules shall come into force on July 1, 2012

**Supplementary Provisions**

These rules shall come into force on February 21, 2013

**Supplementary Provisions**

These rules shall come into force on April 1, 2013

**Supplementary Provisions**

These rules shall come into force on July 1, 2013

**Supplementary Provisions**

These rules shall come into force on July 25, 2013

**Supplementary Provisions**

These rules shall come into force on April 1, 2014

**Supplementary Provisions**

These rules shall come into force on July 1, 2014

**Supplementary Provisions**

These rules shall come into force on September 2, 2014

**Supplementary Provisions**

These rules shall come into force on April 1, 2015

### Supplementary Provisions

These rules shall come into force on March 1, 2016

#### Appended Table 1 (Re: Article 6)

Academic Organizations	Compliance Officer
Academic Promotion Office	Director
IR (Institutional Research) Data Office	Director
Committee for Presidential Initiatives	Chairman
University Archives	Director
Organization for Interdisciplinary Research Projects	Director
Earth Observation Data Integration and Fusion Research Initiative	Director
Open Innovation Center for Drug Discovery	Director
Institute for Nano Quantum Information Electronics	Director
Ocean Alliance	Director
Translational Research Initiative	Director
Information and Robot Technology Research Initiative	Director
Consortium for Renovating Education of the Future	Director
Institute of Gerontology	Director
Life Science Network	Director
Future Center Initiative	Director
Center for Marine Biology	Director
Micro-Nano Multi-functional Devices Research Network	Director
Network for Education and Research on Asia	Director
Medical Genomics Research Initiative, The University of Tokyo	Director
UTokyo Institute for Diversity & Adaptation of Human Mind (UTIDAHM)	Director
Molecular & Life Innovation	Director
The University of Tokyo Sports Science Initiative	Director
Division of International Affairs	Director General
Division for Environment, Health and Safety	Director General
Division for Procurements	Director General
Financial Strategy Office	Director
Campus Planning Office	Director



Educational Planning Office		Director
Division for Strategic Public Relations		Director General
Evaluation Support Office		Director
Disability Services Office		Director
Office for business transformation		Director
Internal Audit Office		Director
Division for Information and Communication Systems		Director General
Division of University Corporate Relations		Director General
Division for Development		Director General
Alumni Office		Director
Office for Gender Equality		Director
Office for Appropriate Control of Research Funds		Director
Division for Counseling and Support		Director General
UTokyo Sustainable Campus Project Office		Director
Executive Management Program Office		Director
Office for Life Science Research Ethics and Safety		Director
Division for Health Service Promotion		Director General
PEAK (Programs in English at Komaba) Undergraduate Admissions Office		Director
Admissions Planning Office		Director
Office of Export Control		Director
Office for Advancement of Research Administrators		Director
Division for Engineers Network Promotion		Director General
Center for the Development of Global Leadership Education		Director
Harassment Counseling Center		Director
Academic Venture Partners Office		Director
Research Ethics Promotion Office (tentative name)		Director
Admission Center		Director
Groups in the Central Administration	Student Affairs Group, Student Support Group, Student Scholarship and Welfare Group, Career Support Group, University Entrance Examination Group	General Manager, Education and Student Support Department
	Research Promotion Planning Group, Academic Promotion Group, Research Funding Strategy Group, Research Ethics Promotion Group, University Museum Group	General Manager, Research Promotion Department
	External Relations Promotion Group, Fundraising and Endowment Group, Alumni Affairs Group	General Manager, External Relations Department
	University Corporate Relations Group	General Manager, University Corporate Relations Department

International Planning Group, International Exchange Group, International Students and Researchers Support Group	General Manager, International Affairs Department
Health and Safety Group, Environmental Safety Group	General Manager, Environment, Health and Safety Department
Information Strategy Group, Information Systems Support Group, Information Technology Group	General Manager, Information Systems Department
General Affairs Group, Management Planning Group, Legal Affairs Group, Public Relations Group, University Evaluation and Analysis Group	General Manager, General Affairs and Planning Department
Personnel Planning Group, Compensation Group, Human Resource Development Group, Labor and Working Environment Group	General Manager, Personnel Department
Finance Group, Accounting Group, Account Settlement Group, Contract Group	General Manager, Finance Department
Facilities Planning Group, Facilities Construction Project Group, Facilities Maintenance Group, Environment Group	General Manager, Facilities Department
Asset Management Group, Property Management Group	General Manager, Asset and Property Management Department
Internal Audit Group	Manager, Internal Audit Group
University Library System	Director
Kavli Institute for the Physics and Mathematics of the Universe	Director
Integrated Research System for Sustainability Science	Director
Material Innovation Research Center	Director
Next Generation Artificial Intelligence Research Center (AI Center)	Director
Synchrotron Radiation Research Organization	Director
Universal Biology Institute	Director
Research Institute for Photon Science and Laser Technology (UTripl)	Director
Mathematics and Informatics Center	Director
Institute for Life Science Research and Education	Director
Research Institute for Biomedical Science and Engineering	Director
The Collaborative Research Organization for Historical Materials on Earthquakes and Volcanoes	Director
Graduate Schools for Law and Politics Faculty of Law	Dean
Graduate School of Medicine Faculty of Medicine	Dean
The University of Tokyo Hospital	Director
Graduate School of Engineering Faculty of Engineering	Dean

Graduate School of Humanities and Sociology Faculty of Letters	Dean
Graduate School of Science Faculty of Science	Dean
Graduate School of Agricultural and Life Sciences Faculty of Agriculture	Dean
Graduate School of Economics Faculty of Economics	Dean
Graduate School of Arts and Sciences College of Arts and Sciences	Dean
Graduate School of Education Faculty of Education	Dean
Faculty of Education Attached Secondary School	Principal
Graduate School of Pharmaceutical Sciences Faculty of Pharmaceutical Sciences	Dean
Graduate School of Mathematical Science	Dean
Graduate School of Frontier Sciences	Dean
Graduate School of Information Science and Technology	Dean
Graduate School of Interdisciplinary Information Studies	Dean
Graduate School of Public Policy	Dean
Institute of Medical Science	Director
Earthquake Research Institute	Director
Institute for Advanced Studies on Asia	Director
Institute of Social Science	Director
Institute of Industrial Science	Director
Historiographical Institute	Director
Institute of Molecular and Cellular Biosciences	Director
Institute for Cosmic Ray Research	Director
Institute for Solid State Physics	Director
Atmosphere and Ocean Research Institute	Director
Research Center for Advanced Science and Technology	Director
University Museum	Director
Cryogenic Research Center	Director
Radioisotope Center	Director
Environmental Science Center	Director
Research into Artifacts, Center for Engineering	Director
Biotechnology Research Center	Director
Asian Natural Environmental Science Center	Director
Center for Research and Development of Higher Education	Director

Center for Spatial Information Science	Director
Information Technology Center	Director
International Center for Elementary Particle Physics	Director
VLSI Design and Education Center	Director
UTokyo Policy Alternatives Research Institute	Director
Center for Research and Development on Transition from Secondary to Higher Education	Director
Kashiwa General Administration Office	General Manager, Kashiwa Administration Office

Remark: In the Central Administration, the director of each office and the general manager supervising groups shall each serve as the Compliance Officer. In the Kashiwa General Administration Office, the Director shall serve as the Compliance Officer.

**Appended Table 2 (Re: Article 11)**

Compliance Hotline
Research Funds Hotline
Committee on Standards of Conduct in Scientific Research
Committee for Information Ethics
Harassment Prevention Committee
Grievance Committee