

# **The Regulation of the Public University Corporation, the University of Aizu Concerning Handling of Information Disclosure Reports Regarding Public Interest**

## **Article One (Objective)**

1.1 This regulation shall provide necessary matters pertaining to information disclosure reports filed by administrative personnel, etc. (individuals who are engaged in business operations at the University, regardless of job titles or working styles, including dispatched workers and/or workers engaged in business that the University has commissioned,) of the Public University Corporation, the University of Aizu (hereinafter referred to as the “University”) regarding illegal activities, corruption, and/or unjustifiable acts (hereinafter referred to as “Illegal Conduct, Etc.”), in which executives, administrative personnel, etc. students and/or other individuals related to the University are involved, based on provisions of the “Whistleblower Protection Law” (Law No. 122, June 18, 2004).

## **Article Two (Reception of Information Disclosure Reports Regarding Public Interest)**

2.1 Reception of information disclosure reports regarding public interest shall be established in the audit office, so that due administrative operations can be processed pertaining to the reports and consultation thereof (hereinafter referred to as “Information Disclosure Report(s), Etc.”) within the University.

2.2 The individuals listed below shall serve as managers for reception of Information Disclosure Reports, Etc.

(1) The Director of the Audit Office

(2) Individuals from among auditors appointed by the Chairperson of the Board of Executives

2.3 Other than the reception provided for in 2.1 above, a legal advisor may also receive Information Disclosure Reports, Etc.

## **Article Three (Responsibilities of Informants)**

3.1 Individuals who file reports of Illegal Acts, Etc. (hereinafter referred to as “Informants”) must not file reports, with an intent to gain inappropriate benefits, defame other individuals, and/or other reports made with an intention to carry out an inappropriate act (hereinafter referred to as “Falsified Information Disclosure Report(s), Etc.”)

3.2 Informants must file reports under their own names, in principle.

3.3 Informants must cooperate with relevant investigations.

3.4 Informants must not leak any information regarding details of relevant reports and the state of investigations, etc. regarding the relevant reports, without justifiable reasons.

3.5 The Chairperson of the Board of Executives shall take measures against individuals

who file Falsified Information Disclosure Reports, Etc., including public identification of the individuals, disciplinary punishments based on office regulations of the University or take legal action, etc.

**Article Four**  
**(Methods of Making Information Disclosure Reports)**

4.1 Information Disclosure Reports, Etc. shall be filed in writing, via e-mail, phone, fax and/or in person.

4.2 Information Disclosure Reports, Etc. can be filed using the attached form.

Informants, even if they do not use the designated form, must report the concrete details regarding items listed on the form.

**Article Five**  
**(Reception, Etc.)**

5.1 Managers for reception of Information Disclosure Reports, Etc. and a legal advisor (hereinafter referred to as "Reception, Etc."), giving consideration to maintaining of security of the secrecy of Informants, shall confirm the name and contact address of Informants and detailed facts of Information Disclosure Reports, Etc. and make a decision whether the Information Disclosure Reports, Etc. should be officially received or not.

5.2 Reception, Etc. must notify relevant Informants of decisions made regarding provisions provided for in Paragraph 5.1 above without delay.

5.3 The Fukushima Prefectural Advisor, upon making a notification according to provisions provided for in Paragraph 5.2 above, can make inquiries to the managers for reception of Information Disclosure Reports, Etc. for details of the Information Disclosure Reports, Etc. in advance.

5.4 The Fukushima Prefectural Advisor shall inform the managers for reception of Information Disclosure Reports, Etc. of Information Disclosure Reports, Etc. officially received, except for those for which investigations have been decided to be conducted by the Prefectural Advisor himself/herself.

**Article Six**  
**(Reports on Reception)**

6.1 Reception, Etc. must report details of Information Disclosure Reports, Etc. to the Chairperson of the Board of Executives immediately after physical reception, regardless of whether or not the reports would be officially received.

6.2 The managers for reception of Information Disclosure Reports, Etc. must report details of Information Disclosure Reports, Etc. to the legal advisor and auditors immediately after officially receiving the Information Disclosure Reports, Etc.

**Article Seven**  
**(Investigations)**

7.1 The Chairperson of the Board of Executives, after examination of the necessity of investigations regarding facts related to items of filed Information Disclosure Reports, Etc., can establish an investigation committee including administrative personnel affiliated with sections relevant to the Information Disclosure Report, Etc. (hereinafter referred to as "Investigation Committee(s)") and have them conduct investigations when they are necessary.

7.2 An Investigation Committee shall be organized of members below. However, individuals related to details of the Information Disclosure Report, Etc. cannot be included in the members.

- (1) One regent appointed by the Chairperson of the Board of Executives
- (2) The Director of the General Affairs and Budget Division
- (3) A few other individuals whom the Chairperson of the Board of Executives recognizes as necessary for the committee

7.3 The position of the committee chairperson shall be established within the Investigation Committee, and duties as the committee chairperson shall be served by the regent.

7.4 The committee chairperson shall convoke the Investigation Committee meetings for investigations regarding relevant Information Disclosure Reports, Etc. and deliberations on necessary measures.

7.5 The committee chairperson, when he/she recognizes doing so as necessary, may require the attendance of nonmembers for the purpose of requesting having them provide opinions.

7.6 The Chairperson of the Board of Executives, when an Investigation Committee has been established, must report its establishment to the legal advisor and auditors promptly.

## **Article Eight (Notification of Commencement, Etc. of an Investigation)**

8.1 Reception, Etc. must notify relevant Informants of the commencement of investigations, at the time the relevant investigations start, or that the investigation was recognized as unnecessary when applicable and reasons for these conclusions, at the time the investigation was recognized as unnecessary, without delay. In the case of an Information Disclosure Report filed in writing (including via e-mail and/or fax), applicable notifications shall be made within twenty days after the filing of the Information Disclosure Report, in principle.

## **Article Nine (Obligation of Cooperation)**

9.1 Executives and/or administrative personnel of the University, when asked to cooperate with investigations, are obligated to cooperate with investigations, without justifiable reasons.

**Article Ten**  
**(Reporting, Etc. on Results of Investigations)**

10.1 The Investigation Committee, when relevant investigations and deliberations are complete, must report the results of investigations to the Chairperson of the Board of Executives, a legal advisor and auditors promptly.

10.2 Reception, Etc., giving consideration to the credibility, honor and privacy, etc. of the individuals against whom the Information Disclosure Report, Etc. was filed (hereinafter referred to as "Reported Individual(s)"), shall notify the relevant informant of the results provided for by Paragraph 10.1 above promptly. However, the notification is not required in the case that the relevant informant does not wish to receive the notification.

**Article Eleven**  
**(Dissolution of the Investigation Committee)**

11.1 Relevant Investigation Committees shall be dissolved, after making the reports provided for in Paragraph 10.1 above. However, relevant Investigation Committees shall not be dissolved when the Chairperson of the Board of Executives requests ongoing investigations.

**Article Twelve**  
**(Corrective Measures)**

12.1 The Chairperson of the Board of Executives, when acts conducted by Reported Individuals are recognized as Illegal Conduct, Etc. after due investigation, shall promptly take corrective and preventative measures.

**Article Thirteen**  
**(Punishment, Etc.)**

13.1 The Chairperson of the Board of Executives shall take measures against personnel, etc. involved in Illegal Conduct, Etc. provided for in Paragraph 12.1 above, including disciplinary punishment, etc. based on office regulations of the University, which may include legal action and prosecution, etc.

13.2 The Chairperson of the Board of Executives must promptly report measures, etc. taken, provided for in Paragraph 13.1 above to the legal advisor and auditors.

**Article Fourteen**  
**(Safeguards for Informants)**

14.1 The University must not give unfair treatment to Informants and/or individuals who cooperated with investigations.

14.2 The Chairperson of the Board of Executives must take appropriate measures, so

that working environment for Informants and/or individuals who cooperated with investigation do not deteriorate for their involvement in the investigations.

14.3 Informants and/or individuals who cooperated with investigations, in cases that they receive unfair treatment and/or harassment for their involvement in the investigations, can appeal to that effect in writing to the Chairperson of the Board of Executives.

**Article Fifteen  
(Obligation of Confidentiality)**

15.1 Reception, Etc., members of the investigation committee, and other individuals involved in Information Disclosure Reports, Etc, must not reveal matters they come to know through their activities, without justifiable reasons.

**Article Sixteen  
(Information Disclosure Reports, Etc. from Individuals Other than University  
Personnel, Etc.)**

16.1 When individuals other than University personnel file an Information Disclosure Report, Etc. on Illegal Conduct, Etc. pertaining to business operations under the jurisdiction of the University, the Information Disclosure Report, Etc. shall be handled in accordance with provisions provided for by this regulation.

**Article Seventeen  
(Miscellaneous Matters)**

17.1 Miscellaneous matters concerning this regulation shall be performed by the General Affairs and Budget Division.

**Article Eighteen  
(Supplementary Provisions)**

18.1 Other than provided for by this regulation, necessary matters concerning Information Disclosure Reports, Etc. shall be determined separately by the Chairperson of the Board of Executives.

**Additional Provisions**

This regulation shall be enforced as of April 1, 2008.

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This regulation shall be enforced as of April 1, 2009.

Date of the report: \_\_\_\_\_

1 Your (informant's) affiliation: \_\_\_\_\_

Your (informant's) name: \_\_\_\_\_

2 Please describe what you (informant) have recognized as illegal conduct.

(1) An organization or individual which/whom you have recognized as committing illegal conduct.

Organization \_\_\_\_\_ Affiliation \_\_\_\_\_

Name of the individual \_\_\_\_\_

(2) Details of suspected illegal conduct (If this space is not large enough, please attach separate sheets to this form.)

(3) An individual other than you whom you assume to have known this suspected illegal conduct.

Affiliation \_\_\_\_\_ Name \_\_\_\_\_

(4) How and why this suspected illegal conduct was detected and whether there are any evidential materials

**【How and why was this suspected illegal conduct detected?】**

**【Are there any evidential materials?】**

Yes ( If you have the materials with you, please attach a copy of materials to this form. )

No

(5) Preferred methods for communication with managers for reception of Information Disclosure Reports, Etc. (Please circle preferred communication method(s).)

Letters (Address: \_\_\_\_\_ )

E-mails (E-mail address: \_\_\_\_\_ )

Phone (Phone number: \_\_\_\_\_ )

Interview (Desired location: \_\_\_\_\_ )

(6) If you have other issues to mention, please provide them below.