

Nara Institute of Science and Technology, National University Corporation
Risk Management Regulations

January 26, 2012
Regulations No. 1

Table of Contents

- I. General Provisions (Article 1 to Article 4)
 - II. Risk Management under Normal conditions (Article 5 to Article 7)
 - III. Risk Management in Emergencies (Article 8 to Article 11)
 - IV. Miscellaneous Provisions (Article 12)
- Supplementary Provisions

I. General Provisions

Article 1 (Purpose)

1. These Regulations stipulate basic matters concerning risk management at the Nara Institute of Science and Technology (hereinafter referred to as "NAIST"), through which NAIST aims to ensure the safety of its students, faculty and staff and fulfill its responsibilities to society.
2. The provisions of these Regulations shall apply to risk management at NAIST, in addition to the provisions of applicable laws and regulations, and other rules and regulations stipulated by NAIST.

Article 2 (Definitions)

For the purpose of these Regulations, the following terms and expressions shall have the following meanings.

- (1) "Students and Staff" shall mean the students, officials, faculty and staff of NAIST and individuals who are permitted to work at NAIST.
- (2) "Risk" shall mean any emergency situation that has caused or may cause material harm to or otherwise threaten the lives or physical or mental wellbeing of the Students and Staff, educational and research activities at NAIST, the organization of NAIST, or property or reputation of NAIST, due to acts of God, fire, serious infectious disease, accidents during laboratory work, failure of facilities and equipment, non-compliance with applicable laws, regulations or rules by any of the Students and Staff, terrorism, or other serious incidents or accidents.
- (3) "Risk Management" shall mean organized implementation of pre-incident measures to prevent any potential Risk that could affect NAIST, emergency

measures to minimize damage when Risk occurs, and post-incident measures to prevent recurrence of the same Risk.

- (4) "Graduate School, etc." shall mean the Graduate School of Science and Technology and other organizations thereof, namely, the Information Initiative Center, the joint-use educational and research facilities, the Health Care Center, the Center for Strategy and Planning, the Institute for Educational Initiatives, the Institute for Research Initiatives and the administration offices (including the Auditing Office, the General Safety and Health Management Office, the Gender Equality Promotion Office and the Regional Co-creation Office).
- (5) "Head of Graduate School, etc." shall mean the head of the Graduate School, etc. defined in the foregoing subparagraph.

Article 3 (Obligations of the President, etc.)

1. The President, having overall responsibility for Risk Management at NAIST, shall take necessary measures for this purpose.
2. The Vice Presidents and the Executive Directors shall assist the President and take command of Risk Management measures concerning the tasks for which they are made responsible.
3. The Head of Graduate School, etc., as the person responsible for Risk Management at the Graduate School, etc., shall take necessary measures for Risk Management therefor.
4. Faculty and staff shall endeavor to perform their duties while considering Risk Management.

Article 4 (Authority to act in place of the President)

In the absence of the President due to an official trip, accident or for any other reason, the authority to act in place of the President as the person responsible for Risk Management shall be delegated to the Executive Director, to be designated by the President in advance.

II. Risk Management under Normal Conditions

Article 5 (Risk management measures to be taken by the President)

The President shall take the following Risk Management measures under normal conditions:

- (1) Prepare and review a basic Risk Management plan and ensure that all related persons are fully informed of said plan.
- (2) Prepare and review a manual or other guide specifying emergency

procedures to be taken when Risk occurs, and ensure that all related persons are fully informed of said procedures.

- (3) Collect and analyze Risk-related information.
- (4) Prepare and review an emergency notification system for the whole of NAIST, and ensure that all related persons are fully informed of said system.
- (5) Keep materials and equipment in stock in preparation for a Risk, and review and enhance the contents of said stock.
- (6) Provide appropriate information to the Students and Staff.
- (7) Educate the Students and Staff to increase their Risk Management awareness.
- (8) Take responsibility for all other matters necessary for Risk Management throughout NAIST.

Article 6 (Risk Management Committee)

1. The President shall establish a Risk Management Committee (hereinafter referred to as "Committee") to perform centralized management of Risk-related information and promote the Risk Management system at NAIST.
2. Matters concerning the Committee shall be set forth separately.

Article 7 (Risk management by the head of the graduate school, etc.)

The Head of Graduate School, etc. shall take the following Risk Management measures under normal conditions concerning the tasks, facilities and equipment for which he/she is responsible.

- (1) Prepare, implement and review specific Risk Management measures and ensure that all related persons are fully informed of said measures.
- (2) Prepare and review a manual or other guide specifying emergency procedures to be taken when Risk occurs and ensure that all related persons are fully informed of said procedures.
- (3) Prepare and review emergency notification systems covering the Graduate School, etc. and ensure that all those related are fully informed of the system.
- (4) Take responsibility for other matters necessary for Risk Management at the Graduate School, etc.

III. Risk Management in Emergencies

Article 8 (Risk notification)

1. If any of the Students and Staff notices that a Risk requiring urgent attention has occurred or is likely to occur, he or she shall inform the relevant Head of the

Graduate School, etc. through the emergency notification system established in advance.

2. The Head of the Graduate School, etc. who is notified of any Risk pursuant to the foregoing paragraph shall immediately check the state of the Risk, notify the President of the current situation through the emergency notification system established in advance and take necessary measures.

Article 9 (Establishment and dissolution of Risk Control Task Force)

1. In case any Risk has occurred or is likely to occur, the President may, at his discretion, immediately establish a Risk Control Task Force (hereinafter referred to as "Task Force") to respond to the Risk.

2. In principle, the Task Force shall be established within the administration offices, or if this is not possible, in the Graduate School, etc.

3. The Task Force shall be dissolved upon completion of the Risk control measures.

Article 10 (Structure of the Task Force)

1. The Task Force shall consist of:

(1) A Director

(2) A Deputy Director

(3) Other members

2. The President shall serve as the Task Force Director and take overall responsibility for its operation.

3. The Deputy Director shall be the individual designated by the President from among the members specified in the following paragraph, and shall assist the Director.

4. The following individuals shall serve as Task Force members and engage in its operation:

(1) Executive Directors

(2) Vice Presidents

(3) Head of Graduate School, etc. designated by the Task Force Director

(4) Director of the Planning and Academic Affairs Department

(5) Director of the Research and International Affairs Department

(6) Director of the Operational Affairs Department

(7) Other NAIST faculty or staff designated by the Task Force Director

5. Administrative affairs of the Task Force shall be undertaken by the Planning and General Affairs Division of the Planning and Academic Affairs Department, and the responsible administration office personnel for said affairs shall be designated by the Task Force Director.

Article 11 (Authorities of the Task Force)

1. The Task Force shall engage in the following Risk Management tasks under the command of the Director thereof to immediately control the Risk:

- (1) Collect and analyze information concerning the Risk
- (2) Determine and implement measures necessary to respond to the Risk
- (3) Provide information to Students and Staff who may be affected by the Risk
- (4) Coordinate communications with relevant bodies responsible for responding to the Risk, including, but not limited to, the national and local governments
- (5) Provide information to the press concerning the Risk
- (6) Carry out other tasks necessary to respond to the Risk

2. The Students and Staff shall comply with the instructions given by the Task Force.

3. In taking measures to control the Risk, the Task Force may skip the procedures required to be taken under the standard rules and regulations of NAIST, including deliberation by the Board of Directors, Administrative Council, and the Education and Research Council (hereinafter referred to as "Board of Directors, etc.>").

4. If the Task Force skips the procedures pursuant to the preceding paragraph, it shall report to the Board of Directors, etc. upon completion of the Risk response measures.

IV. Miscellaneous Provisions

Article 12 (Miscellaneous provisions)

Matters concerning Risk Management at NAIST not stipulated herein shall be set forth separately.

Supplementary provision

These Regulations shall come into effect on February 1, 2012.

Supplementary provision

These Regulations shall come into effect on April 1, 2013.

Supplementary provision

These Regulations shall come into effect on August 1, 2013.

Supplementary provision

These Regulations shall come into effect on April 1, 2015.

Supplementary provision

These Regulations shall come into effect on April 1, 2018.

Supplementary provision

These Regulations shall come into effect on April 1, 2021.