RIKEN Regulations for Donations
2007 January 25, Rule No. 3

This English translation is for information purposes only. Any questions regarding interpretation are to be resolved using the original Japanese document.

Article 1 Purpose
The purpose of these Regulations is to establish RIKEN’s policies and standards concerning donations made to RIKEN, including such monetary donations as cash and securities, donations of goods, real estate, including land and buildings, intellectual property rights, and the like.

Article 2 Standards for acceptance
RIKEN may accept donations that meet all of the following criteria.
(1) The donation contributes to the achievement of the goals presented in Article 3 of the RIKEN Law (2002, Law No. 160).
(2) None of the following conditions are attached to the donation.
   (a) Provision of benefit or service in compensation for the donation
   (b) Auditing of the donated accounts by the donor
   (c) Option of the donor to cancel all or part of the donation after it has been made
   (d) Gratuitous transfer to or use of the donation by the donor
(3) There is no excessive operational or financial burden or impediment to RIKEN as a result of accepting the donation.

Article 3 Types of donations
RIKEN may accept the following types of donations.
(1) General donation: The donor does not specify how the donation is to be used, and RIKEN specifies how the donation is to be used in accordance with the conditions set forth in Article 2. (Form 1)
(2) Specified donation: The donation is to be applied to one of the following predetermined uses.
   (a) Donation for specific use: The donor specifies how the donation is to be used. (Form 2)
   (b) Donation made in response to requests for funds: RIKEN initiates a fund-raising campaign for a specific undertaking or purpose, specifying amounts and how the donations are to be made as well as the duration of the campaign. (Form 1)

Article 4 Procedures for receiving a donation
1. A person or organization that wishes to make a donation to RIKEN must submit a
Donation Application Form (see Forms 1 and 2) to RIKEN.

2. Upon receipt of the application form specified in the above clause, RIKEN must check that the donation meets the conditions of Article 2 and decide whether or not to accept the donation.

3. When it is decided to accept a donation, RIKEN will advise the donor of the decision and send the donor the necessary documents, including a deposit form, for the donor to make the donation.

Article 5  Management of donations
Donations accepted by RIKEN shall be managed in accordance to RIKEN’s rules and regulations.

Article 6  General expenses
Upon receipt of a donation for specific use as stipulated in Article 3, Clause 2a, RIKEN shall deduct 10% of the donated amount for general expenses.

Article 7  Period of use for specified donations
If there are no special requirements at the time of receiving a specified donation, the donation is to be used within 3 years. This period may be extended, however, if RIKEN deems there is an appropriate and rational reason for the extension.

Article 8  Change in use
RIKEN may change how a donation is to be used for any one of the following reasons.

(1) The original purpose for the donation has been achieved and there is still a small amount of the donation left.

(2) The period of use for the donation as specified in the preceding Article has expired.

(3) It has been decided for appropriate and rational reasons to change the employee or organization for which the donation was originally applied.

Article 9  Transferring of donations
RIKEN may transfer a donation for any of the following reasons.

(1) The employee making use of the donation transfers to another research or similar institution and the related donation is to be transferred to that institution. In this case, RIKEN will not, in principle, return the amount that was originally deducted for general expenses as stipulated in Article 6, Clause 2.

(2) The employee making use of the donation transfers to RIKEN from another research or similar institution. In this case, RIKEN may deduct from the donation general expenses as stipulated in Article 6.
Article 10 Exceptions
All or part of these Regulations may not apply in the event of any one of the following.

(1) It is possible to manage the donation in accordance with the provisions of other RIKEN rules and regulations.

(2) The donation is being made by the national government, an Independent Administrative Institution, a regional public or community organization or the like.

(3) RIKEN determines that there are special extenuating circumstances.

Article 11 Other matters
Additional matters concerning donations that are not covered by these Regulations may be decided separately as necessary.

Supplementary provisions
1. These Regulations are effective as of February 1, 2007.
2. The provisions of Articles 7 and 8 shall apply to donations received by RIKEN before these Regulations became effective. In the case of donations that were made to RIKEN more than three years ago as of March 31, 2007, however, such donations must be used by no later than March 31, 2008.
Application to make a donation
(General donation)

Date: __________________________

To:
RIKEN
President ______________

Address: ____________________________________________________________

Corporation name: ____________________________________________________

Job title and name of authorized person: ________________________________

______________________________________________

(Signature): _________________________________________________________

Application is hereby made to make a donation to RIKEN as per the provisions of

1. Purpose of donation

2. Donation amount /Name of donated item:

3. Conditions:

4. Other requests, provisions:

5. Responsible Division/Section: ________________________________

   Contact person: ________________________________________________

   Tel & Fax: Tel _______________ Fax _______________

   Address: ______________________________________________________
Application to make a donation  
(Donation for specific use)  

Date: ______________________

To:
RIKEN
President __________

Address: ______________________________________

Corporation name: ______________________________________

Job title and name of authorized person: ______________________

(Signature): ______________________________________

Application is hereby made to make a donation to RIKEN as per the provisions of the 2007 RIKEN Regulations for Donations (2007, Rule 3).

1. Specified use:

2. Donation amount:

3. Conditions:

4. Other requests, provisions:

5. Responsible Division/Section: ______________________

Contact person: ______________________________________

Tel & Fax: Tel _______________ Fax _______________

Address: ______________________________________
Personal Information Protection Regulations
Effective October 1, 2006

(March 10, 2005, Regulation 6)
Revised September 26, 2005, Regulation 55 and September 29, 2006 Regulation 69

These Regulations are an English translation of the original Japanese document. Any questions that may arise about the interpretation of these Regulations shall be resolved using the original Japanese document.

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Chapter 1 General provisions

Article 1 Purpose
These regulations establish the basic criteria for the handling of personal information at RIKEN for the appropriate and smooth conduct of its business and to protect the individual’s rights to privacy.

Article 2 Definitions
1. In these Regulations, personal information is any information that identifies or distinguishes a living individual by name, date of birth or other facts (including information that can be crosschecked with other information to identify a specific individual).

2. In these Regulations, “retained personal information” is personal information retained by RIKEN that is recorded or acquired in the line of work by RIKEN’s executive officers, indefinite-term employees, fixed-term contract employees, and others working at RIKEN (hereinafter, “employees”) and that is used institutionally by RIKEN employees. This definition applies, however, only to institutional documents as stipulated in Article 2, clause 2 of the law regarding the disclosure of information held by Independent Administrative Institutions (2001 Law No. 140).

3. In these Regulations, “personal information files” refer to the following collections of retained personal information.
   a. Information systematically compiled in a format that can be searched by computer for a specific clerical purpose.
   b. In addition to the above, information that is systematically compiled in a format that facilitates the easy search of name, date of birth, and other facts for a specific clerical
4. In these Regulations, the term “subject” refers to the specific individual identified by personal information.

**Chapter 2 Framework for the protection of personal information**

**Article 3 General Manager for Personal Information**

1. There shall be a General Manager to oversee the management of personal information.
2. The Executive Director in charge of general affairs shall be General Manager for Personal Information.

**Article 4 General Affairs Division Director**

The General Affairs Division Director shall assist the General Manager for Personal Information and shall supervise measures to protect personal information.

**Article 5 Personal Information Managers**

1. One person in each office and section of RIKEN’s administrative divisions shall be appointed as a Personal Information Manager responsible for measures to protect personal information.
2. A Personal Information Manager may appoint one or more people from among the people in his or her section to be responsible for tasks related to protecting personal information. The appointed person or persons shall assist the Personal Information Manager in carrying out measures to protect personal information.

**Article 6 Committee**

1. In making decisions and notifications regarding important matters related to retained personal information, the General Manager for Personal Information may call regular or periodic meetings of a Disclosure and Personal Information Review Committee.

**Chapter 3 Education and training**

**Article 7 Education and training**

1. The General Manager for Personal Information shall carry out educational activities and training as necessary to increase understanding and raise awareness of the importance of protecting personal information among those who handle this kind of information in their work.
2. The General Manager for Personal Information shall carry out educational activities and training of employees involved in personal information system management for the appropriate management, operation, and institution of security measures for retained personal information.
3. The General Manager for Personal Information shall undertake the necessary measures to
ensure that RIKEN employees have the opportunity to participate in training programs related to the management of personal information.

Chapter 4 Handling of personal information

Article 8 Employee responsibilities
Employees must handle personal information in accordance with the instructions of Personal Information Managers, the General Affairs Division Director, and the General Manager for Personal Information, and in accordance with the provisions of the law regarding the protection of personal information held by Independent Administrative Institutions (2003, Law No. 59).

Article 9 Controlled access
1. The General Manager for Personal Information must, in accordance with the degree of privacy required, keep to a minimum the number of employees required to have access rights to retained personal information for specified purposes.
2. Employees without access rights must not access retained personal information.
3. Even employees with access rights must not access retained personal information for purposes other than those required by RIKEN business.

Article 10 Limits on retaining personal information
1. Employees may retain personal information only for purposes required by law and must specify those purposes to the extent possible.
2. Employees must not retain personal information for purposes that go beyond the requirements noted in the clause above.
3. When employees change the purpose for which personal information will be used, they should not do so beyond the extent to which such change is relevant to the former purpose for which personal information was used.
4. Employees must not collect personal information that may lead to discrimination such as information related to ideology, religious faith or belief. This provision does not apply, however, when there are legal provisions and when required for legal procedures.

Article 11 Statement of reasons for use
When acquiring written personal information (including personal information recorded on electronic or magnetic media that cannot be confirmed by human sensory perception; hereinafter referred to as “electronic data”) from an individual, employees must explain in advance the purposes for which the personal information will be used, except in the following cases:
1) When the information is urgently required to protect human life or assets or prevent bodily injury.
2) When explaining the purpose for which the personal information will be used may have an adverse effect upon the individual or upon the life or assets, or threaten bodily injury, of a third
(3) When explaining the purpose for which the personal information will be used may adversely affect the operation or activities of a government institution, Independent Administrative Institution, or a regional public organization.

(4) When the purpose for which the personal information will be used is obvious from the circumstances in which the information is acquire.

**Article 12 Appropriate acquisition**

1. Employees must not acquire personal information under false pretenses or by other inappropriate means.

2. Employees must acquire personal information directly from the individual concerned, expect in the following circumstances:
   (1) Permission has been granted by the individual
   (2) There are applicable legal provisions
   (3) The information is publicly available in publications or the media
   (4) The information is urgently required for the protection of human life or assets or to prevent bodily injury.
   (5) The individual’s whereabouts are unknown
   (6) The information is needed for a lawsuit, selection process, instruction or consultation and would not serve the required purpose, or would hinder the normal execution of duties, if it were acquired directly from the individual.
   (7) When the normal conduct of business requires that the information be acquired from an administrative institution, other Independent Administrative Institution (IAI) or a regional public organization, and it is clear that there will be no disadvantage to the individual by doing so.
   (8) When the information will be used in a compilation of statistics or for scholarly research and it is clear that there will be no disadvantage to the individual by doing so.

**Article 13 Copy restrictions**

Employees must follow instructions from their Personal Information Manager for any of the following actions related to retained personal information.

(1) Copying of retained personal information

(2) Transmitting of retained personal information

(3) Transmitting or otherwise taking out of RIKEN media on which retained personal information is recorded.

(4) Any other action that might affect the management of retained personal information.

**Article 14 Ensuring accuracy**

1. Employees must, to the extent necessary for the purpose for which the information will be used,
ensure that retained personal information is accurate for both past and current information.

2. Employees must, in accordance with the level of importance of the retained personal information in the information system, verify that information on the original data entry form and the information that has been entered into the system are the same; check that the retained personal information after processing is accurate; and check against already retained personal information.

3. When employees discover an error in retained personal information, they must correct the error under instruction from the Personal Information Manager.

Article 15 Media management
Employees, under instruction from a Personal Information Manager, must store all media containing retained personal information in a specified place, and when deemed necessary, store such media in a locked and fireproof safe.

Article 16 Media disposal
When retained personal information or media containing retained personal information is no longer needed, employees must, under instruction from a Personal Information Manager, erase the information or destroy the media so that the retained personal information cannot be read or reproduced.

Article 17 Safety measures
1. RIKEN must take every precaution to prevent the leakage, loss or damage of retained personal information and ensure appropriate storage of retained personal information.

2. The above provision applies equally to those outside of RIKEN who have been commissioned to handle RIKEN’s retained personal information.

3. When commissioning work requiring the handling of personal information to an agent outside of RIKEN, care must be taken to ensure that the agent is capable of appropriately managing the personal information and ensuring its security. The commission contract must specify the following items. Additionally, there must be a written itemized list of items requiring inspection such as the agent’s management organization, responsible persons, and procedures and security measures for the handling of personal information.

(1) Confidentiality requirement for personal information
(2) Limitations and conditions for sub-contracting
(3) Limitations on copying of personal information
(4) Procedures to be followed in the case of leakage of personal information
(5) Procedures for erasing and returning media containing personal information at the end of the period of commission
(6) Conditions for cancelling the contract when there is transgression of any of the contract provisions.
4. When a dispatch employee is to be assigned work that involves the handling of personal information, confidentiality and security provisions must be included in the dispatch employment contract.

**Article 18 Worker responsibility**

The persons listed below must not give out personal information to which they have access in the process of their work to unauthorized third parties or use this information for inappropriate purposes.

(1) All employees at RIKEN who handle personal information in the course of their work

(2) All persons affiliated with the agent which has been commissioned work by RIKEN that involves the handling of personal information as per Article 17, clause 2 above.

**Article 19 Limitations on use and supply**

1. Employees must not use or supply retained personal information for other than the intended purpose or as required by law.

2. Regardless of the above clause, employees may use or supply retained personal information for other than the intended purpose in any of the cases listed below. This does not apply, however, if the use or supply of personal information may curtail the rights and benefits of the individual concerned or of a third party.

   (1) Permission has been granted by the individual or the individual is being supplied his or her own personal information.

   (2) When the personal information will be used within RIKEN for legally defined purposes and when there is good reason for this use of personal information.

   (3) When the personal information will be supplied to an administrative institution, other Independent Administrative Institution (IAI) or a regional public organization, it is clear that the recipient of the information will be using it for legally defined purposes, and when there is good reason for this use of personal information.

   (4) In addition to the conditions stipulated in clause 3 above, when the information will be used in a compilation of statistics or for scholarly research and it is clear that supplying information to a person other than the individual is to the individual’s advantage, and whenever there are other extenuating circumstances for supplying personal information.

3. The above provisions do not preclude limitations on the use and supply of retained personal information imposed by other laws and regulations.

4. When deemed necessary for the protection of individual rights and benefits, the internal use of personal information for purposes other than the original purpose for which the information was gathered must be limited to certain, designated employees.

**Article 20 Requirements to receive retained personal information**

1. The Personal Information Manager shall, when supplying retained personal information to an administrative institution, other Independent Administrative Institution (IAI) or a regional
public organization in accordance with the provisions stipulated in clauses 2 and 3 of the above article, in principle, exchange a written memorandum with the party that will be using the information that stipulates the purpose, the legal rationale for this use, the extent of the information that will be recorded and a listing of the items to be recorded, the and format in which the information will be used.

2. The Personal Information Manager shall, when supplying retained personal information to an administrative institution, other Independent Administrative Institution (IAI) or a regional public organization in accordance with the provisions stipulated in clauses 2 and 3 of the above article, request security measures and, when deemed necessary, shall conduct investigations prior to supplying the information and periodically thereafter, to ensure that security measures are in place. The Personal Information Manager shall maintain a record of these investigations and require improvements of security measures as necessary.

3. The Personal Information Manager shall, when supplying retained personal information to an administrative institution, other Independent Administrative Institution (IAI) or a regional public organization in accordance with the provisions stipulated in clauses 2 and 3 of the above article, implement as deemed necessary the measures outlined in clause 2 above.

**Article 21  Personal information record book**

The Personal Information Manager shall, depending on the nature of the retained personal information and the need for confidentiality, maintain a record book of the use, handling and storage of personal information.

**Article 22  Reporting of infringements and preventive measures**

1. When there is leakage or other infringement on the security of personal information, the employees who first discover such infringement must promptly report the infringement to their Personal Information Manager.

2. The Personal Information Manager must implement measures to contain the damage and restore security.

3. The Personal Information Manager must investigate the cause of the problem and extent of damage and report to the General Affairs Division Director. In the event of a major infringement or leak of personal information, the Personal Information Manager must immediately report on the occurrence to the General Affairs Division Director.

4. Upon receipt of the report cited in the clause above, and depending on the extent of the damage incurred, the General Affairs Division Director should promptly convey the information to the General Manager for Personal Information and the RIKEN President.

5. The Personal Information Manager must investigate the cause of the problem and implement the necessary measures to prevent a reoccurrence.

6. The General Affairs Division Manager must, depending on the extent and repercussions
resulting from the problem, implement measures to make public the nature of the damage and the measures implemented to contain it and prevent a reoccurrence, and must implement countermeasures for the individuals concerned.

Article 23 Information security
RIKEN shall implement measures to prevent leakage and other infringements on the security of personal information in accordance with the Supplementary Regulations for the Security of Retained Personal Information (2005, Supplementary Regulations No. 8).

Chapter 5 Notices regarding possession of personal information files
Article 24 Notices regarding possession of personal information files
1. When retaining personal information files, the Personal Information Manager for the section or division must give advance notice to the director of the General Affairs Division of the following items. This also applies when making changes.
   (1) Name(s) of personal information files
   (2) Name of the group or organization retaining the files and name of the group or organization in charge of the procedures that make use of the information in the files
   (3) Purpose for which the personal information files will be used
   (4) Items to be included in the personal information file (hereinafter, “recorded items”) and the limitations on the individual personal information to be recorded in the personal information file (hereinafter, “record limits”)
   (5) The personal information to be recorded in the personal information file (hereinafter, “recorded information”)
   (6) When personal information will be regularly supplied to a person or organization outside of RIKEN, the name of that person or organization
   (7) The names of the relevant laws and regulations that require special procedures to change or stop the use of personal information files
   (8) Designation of the format of the personal information record; whether it is in the format defined in Article 2, Clause 3.a (hereinafter, “computer data file”) or in the format defined in Article 2, Clause 3.b (hereinafter “manual file”)
   (9) When there is a manual file stipulating the use and record limits of a computer data file, this should be indicated
2. The above items do not apply to the following types of personal information files.
   (1) Personal information files that are to be used to test computer data files
   (2) A personal information file that contains all or part of the recorded information in a personal information file that is listed above as requiring prior notification and for which the use, recorded items, and record limits are within the same range as those stipulate for the file
requiring prior notification

(3) Personal information file that only contains recorded information that will be erased within one year

(4) A personal information file containing data on fewer than 1,000 individuals

Article 25 Creation and public release of a record book of personal information files

1. The director of the General Affairs Division shall create a record book of personal information files based on the notices cited above.

2. The conditions for the creation and public release of the record book of personal information files noted in the above clause are stipulated in a 2005 government directive.

3.

Chapter 6 Disclosure, corrections, and termination of use

Article 26 Disclosure, corrections, and termination of use

RIKEN shall disclose, correct, and terminate retained personal information as stipulated in the relevant government directive.

Chapter 7 Complaints

Article 27 Complaints

1. RIKEN must respond to and act promptly on complaints regarding the handling of personal information.

2. Complain regarding personal information should be directed to the General Administration Section of the General Affairs Division.

3. When there is a complaint, the section or division concerned must respond promptly to investigate the problem and take appropriate measures to correct the situation upon consultation with the director of the General Affairs Division.

4. When deemed appropriate, the General Manager for Personal Affairs should oversee the measures undertaken in response to a complaint.

5. When deemed appropriate and necessary, the results of the actions undertaken in response to a complaint should be reported in writing to the person who made the complaint.

Chapter 8 Miscellaneous provisions

Article 28 Inspections, evaluations, and reviews

1. The Personal Information Manager should regularly or intermittently inspect retained personal information records, the procedures by which they are processed, and how they are stored. When deemed necessary, a report should be made to the director of the General Affairs Division.

2. RIKEN shall review and implement appropriate measures for the handling and management of retained personal information as deemed necessary following the results of inspections and to the
extent that implementation is possible.