

**OIST Graduate University  
Policies, Rules & Procedures**

Authority: Approved by the President

## **Chapter 28. Procurement**

### **28.1 Policy**

The OIST Graduate University (“the University”) may acquire goods, services and construction needed to carry out its goals and missions under comprehensive decision making and the supervision of the [Board of Governor](#). Such Procurement Authority is ultimately delegated to designated Procurement Departments ([defined at 28.8](#)) and Budget Holders (faculty members etc.: [defined at 27.3.2](#)) within Requesting Units ([defined at 28.8](#)) who must base their purchases on sound business practice, best value, accountability, and compliance with donor, sponsor, and regulatory requirements. Further, the University requires those who undertake procurement on its behalf to comply with the rules and procedures set out in this Chapter.

### **28.2 General Considerations**

In addition to the policies, rules and procedures in this Chapter as well as applicable law and regulation, the University’s procurement practices are driven by ethical considerations and sound business practices.

#### **28.2.1 Ethical Conduct**

Persons in charge of Procurement Departments and Staff in Charge ([defined at 28.8](#)) of Requesting Units, including the Budget Holders, must comply with the [University’s Code of Conduct](#) in the course of all procurement. Examples of illegal and unethical practices include engaging in price fixing arrangements; bid rigging acts; agreements with competitors to divide or allocate markets or customers; falsifying accounting records; intentional misrepresentation to the University’s auditors; bribery and kickbacks. Misconduct of this nature is subject to

disciplinary action in accordance with [Chapter 23, Misconduct & Whistleblower Protection](#) and [Chapter 38, Discipline](#).

### **28.2.2 Avoiding Conflicts of Interest**

The University expects its faculty and staff to avoid any real or potential conflict of interest on all procuring activities on its behalf. For additional information, refer to [our Code of Conduct](#) and [Chapter 22, Avoiding Conflicts of Interest and Commitment](#). Personal gifts or gratuities from vendors ([defined at 28.8](#)) must be declined, and if received, returned to the vendors.

### **28.2.3 Prevention of Unauthorized Acts**

Persons in charge of Procurement Departments and Staff in Charge of Requesting Units, including the Budget Holders, must not make unauthorized acts, that is, those that are not in compliance with any aspect of this or any other University policy. Such purposes include improper bidding, making commitments for payments without proper authorization, fictitious transactions, inappropriate split orders ([defined at 28.8](#)), obtaining improper price information and making false inspection records. Because unauthorized acts increase legal and financial risks for the University, persons performing such acts may be held personally liable and/or subject to [disciplinary action](#).

### **28.2.4 Restraint on Procurement that are not for Business Purpose**

Requesting Units must not make procurements that are not for an approved business purpose. For examples of items not for an approved business purpose: see [Guidelines Concerning Appropriate Use of Research Funds](#), and the [website: Division for Financial Management](#) for the expenses related to funeral mourning. Procurement of goods or services for personal use is strictly prohibited, as is the use of University

discounts or its tax-exempt status. The point service which accumulates points through procurement for business purposes and enables the purchaser to receive either discount or an item. It is recommended to use accumulated points for the next business purpose procurement or a subsequent procurement. See also [21.2 in Chapter 21, Use of University Resources](#).

### **28.2.5 Relationship with Vendors**

The University will maintain the highest standards of business ethics and conduct when interacting with vendors. The University will build an appropriately competitive environment, while considering local and small businesses, social minorities and environmentally preferred practices. Requesting Units must request the Procurement and Supplies Section for credit check and approval through “[Webform for Vendor Registration](#)” (28.6 Forms) when starting transactions with a new vendor.

#### **28.2.5.1 Independent Providers**

The University must conclude a written contract according to the Contract Management Stipulations when outsourcing to Independent Providers ([defined at 28.8](#)) before start of work. In this case, a Specification ([defined at 28.8](#)) with a clear description for the scope of work and deliverables must be attached. In addition, the University’s “[Standard Service Agreement](#)” (28.6 Forms) must be applied as much as possible. Besides, the terms and conditions in the Standard Service Agreement may not be amended without approval by the Procurement and Supplies Section.

### **28.2.6 Payment Methods**

The University uses bank transfers by invoice after delivery as its primary payment method in principle. However, the University may accept the cases if a corporate credit card is required to be used for a procurement

in accordance with Chapter 26 ([26.3.7](#)). The University may use advance payment methods for vendors for construction, international procurement, and other situations stipulated in Chapter 26 ([26.3.1.27](#)). Such vendors must meet all screening qualifications. When the University procures from new vendors, it must first screen qualifications for the said vendors. The University does not authorize full payment in advance to vendors who do not have the required qualifications.

### **28.2.7 International Procurement**

The University procures goods, services and construction from overseas based on best value, if the procurement costs including indirect costs, such as shipping charge, tariff, etc., are economically more efficient than the procurement from domestic vendors, while also considering maintenance after the procurement.

### **28.2.8 Procurement Authority and its delegation**

The CEO/President has delegated authority for procurement to the University's Procurement Departments. Only the Procurement Departments are permitted to carry out such delegated procurement. These Procurement Departments must follow the requirements of the policy governing Procurement Authority in carrying out such delegated procurement. Concrete matters regarding such authority delegation and approval authorities are referred to in [Attachment 1 of the Guideline for Document-based Approval Process](#) in [Chapter 12 \(12.3.2.2\)](#), Document and Records Management.

#### **28.2.8.1 Authority for Conclusion of Contracts**

In the case of authority delegation as above, the Procurement and Supplies Section for purchasing goods/services and the Budget and Contract Management Section for construction/facility related services are authorized and responsible for conclusion of contracts

on behalf of the University. Please note, the approval or consultation of the Procurement and Supplies Section is necessary for construction/facility related services of 1.5 million yen or more.

#### **28.2.8.2 Delegation of Procurement Authority for Direct Order**

The Section Leader of the Procurement Departments may further delegate Procurement Authority to the Budget Holders when the procurement does not exceed 1.5 million JPY (Direct Order). However, even in case of further delegation to the Budget Holder for Direct Orders, the Requesting Unit must ask the Procurement Departments as above for the necessary procedures of contract conclusion when written contracts or other related documents are required.

Delegation of Procurement Authority must comply with the requirements in Chapter 2 ([2.6](#)) and must be approved by a Vice President at a level above the Requesting Units concerning the delegation of Procurement Authority. This delegation must contain the specifics of the delegation, including the scope, reason, and time limit for the delegation.

The University must review the delegation annually to assess the need for continuation of the agreement and whether any modifications or other alignment is needed. Should the Requesting Units fail to follow University policy, this may result in the withdrawal of the delegated authority.

#### **28.2.8.3 Approval on Budget Holder's behalf**

The Budget Holder of Requesting Units may allow a certain Staff in Charge to approve Direct Orders on ERP system on his/her behalf. In this case, the Budget Holder must specify the scope, reason, and

time limit by submitting [【 Application for approval on Budget Holder’s behalf regarding the procurement of goods and services 】](#) to the system administrator of the ERP system. Although the said Staff in Charge may approve the procurement above on the ERP system on behalf of the Budget Holder, the authority and responsibility for the procurement is not delegated to the Staff in Charge but remains with the Budget Holder. The Staff in Charge who approves on Budget Holder’s behalf must not approve the procurement cases which are made by himself/herself (prohibition of self-approval).

#### **28.2.9 Blanket Framework Agreements**

If Requesting Units frequently need specific goods or services from the same vendor, the Procurement Departments may establish a “blanket framework agreement”. Blanket framework agreements are established for varying periods within a fiscal year in principle, which then allows for procurement without the Requesting Units needing to obtain price information from vendors each time. This category includes unit price agreement, corporate accountable transactions, and basic contracts for continuous transaction agreement.

#### **28.2.10 Multi-year Contracts and Multi-year Vendor Selection**

Based on the multi-annual planning of budget ([27.5.2](#)), the Procurement Departments may conclude multi-year contracts or contracts crossing fiscal years according to the nature and purpose of the procurement cases. However, it is stipulated separately at [28.5.2, Stipulations for Multi-year contracts and Multi-year Vendor Selection](#) about the necessary requisitions for multi-year contracts and contracts crossing fiscal years. In addition, the Procurement Departments may accomplish the selection of vendors by multi-year valid conditions or procedures. To conclude procurement via such selection method, the Procurement Departments

must take appropriate actions by necessity, such as regularly review for the continuity etc.

#### **28.2.11 Procurement in Emergency Situation**

When an Emergency Situation ([defined at 28.8](#)) occurs, the University's employees may make a commitment to a vendor without a formal procedure as stipulated in this Chapter. Such transactions would include, for example, transactions at an unanticipated and sudden life-threatening or catastrophic event. Simple urgent matters and/or lack of time for required procurement procedures are not considered as appropriate reasons in this article.

#### **28.2.12 Disclosure of Procurement Information**

The University discloses the following information to the public regarding past and future procurement on its [website](#).

- Procurement of goods and services valued 5.0 million JPY or more: contents of contract and reason for vendor selection
- Procurement of construction: stipulated matters in the [28.5.2 Contract Management Stipulations](#) (fiscal year construction forecasts, bidding and contract execution processes, and similar relevant information)

### **28.3 Rules**

The University must comply with the laws and regulations of Japan governing its operation. Additionally, Requesting Units and Procurement Departments must adhere to the specific practices set out in this Chapter concerning procuring goods, services and construction using the University funds.

#### **28.3.1 Preparation of Specification**

Requesting Units prepare the document for Specification (defined at 28.8) that specifies the contents of procuring goods, services or

construction and duties clearly in the contract, to communicate with the vendor and to ensure the fulfilment of the contract at each procurement. Price information for vendor selection must be obtained after providing vendors with the Specification. However, when the procurement does not exceed 1.5 million JPY and it is able to specify the contents of the procurement clearly without the Specification, the preparation of Specification may be omitted.

#### **28.3.1.1 Specification Formulation for Large-scale equipment**

In cases of the procurement of large-scale equipment (research equipment etc.) which exceeds 50 million JPY, the Specification must be prepared in compliance with the procedure stipulated at [28.5.2, Detailed Stipulations on the Procurement of Large-scale Equipment](#). Method of preparation of Specification for the enterprise applications is also stipulated in [Chapter 17, at 17.5.7](#).

#### **28.3.1.2 Formulation of Specification**

At formulation of Specification, it would be important to make preparation considering competitiveness through collecting information in the market regarding the prospective goods or services. In addition, except for the special procedures as stipulated at [28.3.1.1](#), the Budget Holders of Requesting Units and final approvers of Purchase Requests have accountability on net specification formulation including selection of products or services.

#### **28.3.2 Entering Direct Orders or Purchase Requests**

When procuring goods, services, and construction, the prior approval of the Budget Holder on the University's ERP system is necessary regardless of the amount. However, exceptional procedures stipulated separately by the Vice President for Financial Management may be applied in cases



when it is difficult to follow the said procedures due to restrictions of transaction, and subject to the approval of the Vice President for Financial Management.

### **28.3.3 Vendor Selection**

In principle, selection of vendors must be conducted by competitive procedures which ensures fairness and transparency such as competitive bidding (tender).

#### **28.3.3.1 Supply Store**

The Supply Store is operated and managed by the Procurement and Supplies Section as a basic resource of the University's daily procurement of research and office supplies. Requesting Units may use the Supply Store with the approval by the Budget Holders, within the procurement amount of less than 1.5 million JPY.

#### **28.3.3.2 Direct Orders**

In situations with delegated Procurement Authority by [28.2.8.2](#) where the procurement amount does not exceed 1.5 million JPY, Requesting Units may proceed to vendor selection at their own discretion by preliminary approval of the Budget Holders while maintaining economic efficiency and fairness. Making an intentional split order to adjust the total amount is not acceptable and would be inappropriate. Splitting order to avoid best value comparable analysis and competitive bidding is not acceptable either. For each Direct Order, only an official authorized purchase order form provided by the University must be used in principle, however, an exceptional procedure stipulated separately by the Vice President for Financial Management may be applied in cases when it is difficult to follow the said procedure.

### **28.3.3.3 Purchase Request**

Excepting the cases within delegated Procurement Authority by [28.2.8.2](#), only the Procurement Departments may procure goods, services and construction on the University's behalf. Requesting Units must ask relevant Procurement Department for vendor selection and contract through a request with preliminary approval by the Budget Holders (Purchase Request).

### **28.3.3.4 Best Value Comparable Analysis**

When the procurement amount is not less than 1.5 million JPY and less than 3.0 million JPY (or, if the Requesting Unit is a research unit or section managed by the Provost, is not less than 1.5 million JPY and less than 5.0 million JPY), the Procurement Departments may conduct vendor selection by the best value comparable analysis based on the price information, such as official quotation submitted from 2 or more vendors.

### **28.3.3.5 Bidding Process**

When the procurement amount exceeds 3.0 million JPY (or, not less than 5.0 million JPY if the Requesting Units is a research unit or sections managed by the Provost), the University will engage in competitive bidding in a manner that creates a fair, open, and competitive environment for qualified vendors, and that secures the best value possible. Methods of competitive bidding and other competitive procedures are stipulated at [28.5.2](#) and [28.5.3](#). Such procedures must be conducted by Procurement Departments. Criterion for determination of successful bidders is the lowest price bid or the most economically advantageous bid in the competitive bidding, unless the cases under different stipulations in [28.5.2](#) and [28.5.3](#).

### **28.3.3.6 Vendor Selection without Competition**

The University may conduct vendor selection for a procurement amount of more than 5.0 million JPY without competitive bidding (tender) procedures subject to the approval of the Procurement Committee in the following cases:

- Single source for goods, services or construction, therefore making irrelevant competitive procedures. This exception must be made by the Procurement Committee on the basis of a rational reason for selecting the vendor including specifications and condition of the concerned goods, services or construction. Requesting Units must prepare the justification for selecting the vendor including above features for their examination. The Committee decision is disclosed on the University's website.
- Procurement in Emergency Situations ([28.2.11](#))
- Others as stipulated in the [28.5.2 Contract Management Stipulations](#), Article 14

In cases when the procurement amount exceeds 1.5 million JPY and does not exceed 5.0 million JPY, when it is difficult to conduct best value comparable analysis by above reasons, the University may conclude a contract without competitive procedures with review by the Section Leader of Procurement Departments on the same justification for selecting the vendor. The Section Leader of Procurement Departments may ask the Rules and Compliance Section Leader for a consultation of confirmation if necessary.

### **28.3.4 Approval for Contract Resolution**

To conclude a contract, the Procurement Departments must obtain preliminary approval of the approver as specified in [Attachment 1 of the "Guidelines for Document based Approval Process"](#) with the justification for the vendor selection, terms and conditions, and the other necessary

information.

### **28.3.5 Correction of Purchase Order**

Requesting Units must reissue an official purchase order form when making modification or correction on the content of the original order is needed. If modification or correction is needed on the cases which have been made through a Purchase Request to Procurement Departments, Requesting Units must notify the sections in charge of purchase order immediately. When receiving such notice, Procurement Departments must promptly conduct appropriate matters such as reissuing the purchase order or contract amendment etc., according to the stipulated procedures.

### **28.3.6 Receipt and Inspection of Deliveries**

The Inspection Staff of the Logistics Team of the Procurement and Supplies Section must confirm receipt of procured goods and services at the time they are delivered to the University. In principle, the confirmation of receipt is conducted at the Logistics Center operated by the Logistics Team. If the Inspection Staff cannot confirm receipt due to a lack of relevant knowledge or expertise related to the delivered goods and services, or confirming the receipt of delivery is difficult at the Logistics Center such as for construction, the Procurement and Supplies Section may delegate the confirmation of receipt to staff having appropriate expertise.

#### **28.3.6.1 Delivery to Off-campus and Inspection for Specialized Services**

The confirmation of receipt may be substituted by receipt of packing invoice or photograph when procured goods are delivered to an off-campus location. Inspection Staff of the Logistics Center receives all the packages delivered to the Logistics Center. To confirm the receipt

of procured goods and services, the Inspection Staff may open the delivered packages without permission of the recipient on the waybill (see the [website: Division for Financial Management](#)).

The Logistics Team will also confirm the performance of services not only on contracts such as translation of materials, interpretation at the events, and instruction for acquisition of a qualification, but also on contracts called specialized services such as development of databases, programs, digital contents etc., by deliverables or service completion report.

#### **28.3.6.2 Records of Receipt and Inspection**

Requesting Units must inspect the performance of delivered goods or deliverables of the services, and record it eligibly. The member of the Logistics Team may witness the performance inspection. Requesting Units must keep records of receipt and inspection for submission of the records to the University's relevant departments as necessary.

### **28.4 Responsibilities**

#### **28.4.1 All Employees accountable for Procurement**

All employees who are related in procurement have the following responsibilities:

- Understand and comply with rules related to procurement;
- Formulate the Specification or its draft from the viewpoint of economic efficiency and fairness, while considering requirements for conducting business purpose;
- Provide necessary information or documents for Purchase Requests, Direct Orders from Requesting Units and its delivery schedule management;
- Inspect the deliverables and related documents with the member of the Logistics Team on delivery of goods and completion of services.

### 28.4.2 **Staff in Charge**

Staff in Charge of Requesting Units have the following responsibilities in addition to [28.4.1](#):

- Conduct Direct Orders or Purchase Requests appropriately based on the rules;
- Obtain approval from the [Budget Holder](#) specified by the rules prior to the procurement, regardless of content or amount of procurement, other than in the exception as stipulated in [28.3.2](#);
- Confirm the delivery schedule to prevent Undelivered ([defined at 28.8](#)) situations on the ordered goods or services.

### 28.4.3 **Budget Holders**

Budget Holders of Requesting Units have the following responsibilities - Final approvers of Purchase Requests have the same responsibilities:

- Be responsible for approval and appropriate execution of procurement and appropriate use of University's funds. Especially, check the contents of procurement and budgetary requirements/limitations regarding the Direct Orders and Purchase Requests from Staff in Charge;
- Take accountability on discretion of specification formulation including selection of products/services;
- Approve the Direct Orders or Purchase Requests after checking if the requests are complying with the University's rules for procurement;
- Select the best and most appropriate vendor for the requirements of the University for each Direct Order, while complying with the related laws and regulations;
- Cooperate with the Audits ([defined at 28.8](#)) on procurement approved by themselves;
- Take responsibility if they approve unauthorized acts and procurement is not for an approved business purpose.

#### **28.4.4 Procurement Departments**

Procurement Departments have the following responsibilities for received Purchase Requests from Requesting Units as well as for the University's procurement activity, except in the cases of delegated Procurement Authority (See above [28.2.8.2](#)):

- Provide information and be a resource to the University on procurement-related matters;
- Select the most appropriate method of procurement from the viewpoint of economic efficiency and fairness;
- Select the best and most appropriate vendor to meet the demands of the University, while complying with the related laws and regulations;
- Negotiate procurement terms and conditions, and conclude contracts with vendors based upon price and best value;
- Take necessary approval procedures for the execution of all procurement;
- Document procurement methods of the University and stipulate necessary procedures, in accordance with applicable regulations;
- Maintain and arrange for the latest procedural documentation;
- Notify the persons involved as necessary with the revisions of the policies or procedures regarding procurement;
- Maintain records of procurement transactions as required by law and by the University's policy;
- Cooperate with the Audits on procurement conducted on the University's behalf;
- The Procurement and Supplies Section conducts and manages appropriately the Supply Store as a resource of basic supplies in the University;
- The Procurement and Supplies Section conducts and manages the Logistics Center as a primal resource for confirmation regarding receipt of procured goods and services, and delivery of orders;

- Collect a document on behalf of the University from the vendors who have a certain transaction amount or more, pledging that they have no objection if the University imposes sanction including suspension of transactions when they are involved in misconduct.

## 28.5 Procedures

### 28.5.1 Direct Orders and Purchase Requests

For details on the procedures for Direct Orders and Purchase Requests, please see the University's Website of the Division of Financial Management, titled Operation Workflow "[Procurement](#)". For operations on the ERP system, the [ERP System Operation Manuals](#) are provided respectively.

### 28.5.2 Competitive Bidding and Contract Procedures

The following procedures are for competitive bidding and contract operations;

- a. [Contract Management Stipulations](#)
- b. [Detailed Stipulations for Procurement Committee](#)
- c. [Detailed Stipulations on the Procurement of Large-scaled Equipment](#)
- d. [Stipulations for Multi-year Contracts and Multi-year Vendor Selection](#)
- e. [Detailed Stipulations for Committees related to Procurement for Building Construction and Facility Management](#)
- f. [Detailed Stipulations on Priority Review for Adoption of PPP/PFI Methods](#)

### 28.5.3 Guidelines

The following are alternative guidelines;

- I. [Guideline for e-Bidding](#)



- II. [Guideline for Overall Evaluation Method](#)
- III. [Guideline for Proposal Competition](#)
- IV. [Guideline for Reverse Auction](#)
- V. [Guideline for Post-bidding Negotiation Method](#)
- VI. [Guideline for Confirmation Offering](#)
- VII. [Guideline for Fair Bidding Investigation Committee](#)
- VIII. [Guideline for Suspension of Transaction](#)

## 28.6 Forms

[Webform for Vendor Registration](#)

[Application for approval on budget holder’s behalf regarding the procurement of goods and services](#)

[Standard Formats for Contract Agreement](#)

## 28.7 Contacts

### 28.7.1 Policy Owner

Vice President for Financial Management

### 28.7.2 Other Contacts

Procurement and Supplies Section

## 28.8 Definitions

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Requesting Units	Research units or administration sections including a Budget Holder who are delegated with Procurement Authority. In this Chapter, this category includes divisions and other offices in certain circumstances.
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Staff in Charge	University’s employees who belong to Requesting Units to conduct procurement operations (including Agency Temporary Staff).
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Procurement Departments	Procurement and Supplies Section and the Budget and Contract Management Section. In this Chapter, this category has employees (including Agency Temporary Staff) and their supervisors who belong to the said departments.
goods	Tangible property for sale, lease, or rental by the University. Also known as product or merchandised commodity.
services	An activity in which execution of work or its deliverables are the major factor. Not merely incidental to the production, acquisition, and/or delivery of goods. Also known as “outsourcing”.
construction	Clearing, dredging, excavating, and grading of land and other activity associated with buildings, structures, or other types of real property.
price information	An official quotation, a reference quotation, an on-line estimation and a price list clearly written which is issued for the University.
Specification	A document with explanatory descriptions to vendors for content of goods or services to be procured. After placing order, Specification would be included as a part of terms and conditions of the contract, then legally binding like purchase order or contract agreement, therefore, it would be necessary to clarify the constitution, demanding performance, delivery due date, delivery site, method of acceptance inspection, documents to be submitted (and/or deliverables), warranty, and the other necessary terms and conditions for the procurement. It would be called as RfQ (Request

	for Quotation) or RfP (Request for Proposal) when obtaining price information.
purchase order	A legally binding order for procurement issued by the University to the vendor.
best value	This concept is to select the vendor who provides the most valuable service to the buyer (the University). This is not only for acquisition of the lowest price by negotiation for discount but includes philosophies of cost reduction by the consideration of the most appropriate conditions/specifications, economic improvement based on the life-time cost (such as future maintenance or disposal costs) and the maximization of values provided for the same price.
competitive bidding	To select a vendor who provides the most valuable condition through a competition among the qualified vendors by public notice for the procurement of goods, services and construction.
contract	A legally binding agreement between the University and a vendor.
inappropriate split order	An act of intentionally making multiple split orders, to avoid required competitive procedures set by procurement amount.
Emergency Situation	The occurrence of an unanticipated and sudden situation that is life-threatening, catastrophic in nature, or involves pressing necessity for immediate repairs, reconstruction, or maintenance in order to permit the safe continuation of a necessary use or function, or to protect the property or the life, health, or safety of any person on University's business.

inspection	To visually confirm quantities and visible defects regarding delivered goods, services or construction, and to verify performance whether delivered items provide the expected features. This operation may be called interchangeably with “acceptance check.”
Undelivered	<p>"Undelivered" is the status that the inspection of ordered goods and services have not been completed by the delivery due date stipulated on the purchase order or written contract. This status is also assigned in the following cases;</p> <ul style="list-style-type: none"> <li>- The delivery has not been completed by the budget expiration date, including scenarios such as where a contract extension was granted;</li> <li>-The goods and services were delivered, yet the inspection could not be completed due to defects and/or missing parts and compensation, substitution or restoration was not provided despite a request from the University.</li> </ul>
Procurement Authority	The authority to execute procurement of goods, services or construction on behalf of the University.
authority delegation	In this Chapter, this is to delegate the authority and responsibility for procurement from the CEO/President and the Procurement and Supplies Section Leader to a certain faculty member or employee.
Approval on Budget Holder’s behalf	An action where the Budget Holder allows a certain Staff in Charge to approve on ERP system on behalf of the Budget Holder. However, the authority and responsibility for procurement still remains with the Budget Holder.

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Audit The internal audit according to [Chapter 8](#) by the University, Auditor’s audit stipulated in [Chapter 9](#), Inspections by the Board of Audit in Japan or other governmental organization and inspections by external auditors.

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vendor An individual or corporate business that provides specified and agreed upon goods, services or construction to the University. The term “vendor” may be used interchangeably with “supplier”. Potential suppliers may be included in this category within this Chapter.

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Independent Provider In the vendor category, especially an individual or Corporate Business who provides services to the University. Since an Independent Provider is not an employee of the University, management or supervision by the University’s employees in not appropriate. Therefore, it would not be relevant to enforce the same direction or order as for staff employed by the University. In addition, the University may not provide Independent Providers with any name card or email address nor use of the University’s name or designs which might suggest employment between the University and Independent Providers.

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Authorized Vendors Vendors who are registered with the Procurement and Supplies Section and are given dedicated ongoing access to the University’s resources.  
Physical access for these vendors must be requested via the University’s Buildings and Facilities Management Division. These vendors will be issued access cards as their work entails continuous and ongoing access to the

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	<p>University; this category includes facilities contractors. Virtual access for these vendors must be made via the University's IT Division, for security reasons this kind of continuous access by vendors is only granted where absolutely required, for example for 24-hours external support services of systems such as the finance and HR systems.</p>
Registered Vendors	<p>Vendors who are registered with the Procurement and Supplies Section and are allowed to access to the University's resources when required i.e. for providing delivery and maintenance services.</p> <p>Physical access must be requested through the University's Buildings and Facilities Management Division, and entry made via the Bosai Center. Temporary access cards are issued upon arrival and to be returned whenever leaving the facility.</p> <p>Virtual access to the University's resources must be requested via IT Division, and access will be granted only for the time window required.</p>
Sales or Presentation Vendors	<p>A vendor visiting the University for the purpose of promoting products or presenting materials. These vendors are not paid or compensated in any way for this purpose. It is the responsibility of the sponsoring employee to ensure these vendors are escorted at all times in laboratory areas.</p>
Agency Temporary Staff	<p>Agency Temp Staff defined at Chapter 30 (<a href="#">30.2.2.1.7</a>). These Agency Temporary Staff do not have direct employment with the University, however, they must comply with this Chapter and conduct themselves in the same manner as all University employees.</p>

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### **Supplementary Provisions**

This Chapter shall come into effect from April 1, 2021.

2 The provisions of 28.3.3.4 and 28.3.3.5 prior to the revision shall apply to the procurement cases which are approved before the effective date.

This Chapter shall come into effect from August 1, 2021.