

(Purpose)

Article 1. These Guidelines set forth necessary matters with regard to the implementation of the Regulations in accordance with Article 18 of the Regulations on the Protection of Whistleblowers at Kyoto University (Order No. 88 of 2005; (hereinafter referred to as “Regulations”).

(Definitions)

Article 2. The terms used in these Guidelines shall be in accordance with the examples of terms used in the Regulations.

(Whistleblowing Report)

Article 3

1. In principle, reports shall be submitted or sent in writing (including e-mail; the same shall apply hereinafter) to the whistleblowing and consultation contact desk.
2. The format of the document set forth in the preceding Paragraph shall be as shown in the attached document.
3. The Fairness Investigation and Audit Office may, if any or all of the contents of a whistleblower report received are incomplete, direct that the document be corrected within a reasonable period of time.
4. The Executive Vice-President in Charge shall determine whether or not to accept or reject the whistleblowing report by taking into consideration whether or not the incomplete parts have been corrected and the details thereof, and whether or not there are justifiable reasons in the event that the incomplete parts are not corrected within the time period set forth in the preceding Paragraph.

(Engaged Persons)

Article 4

1. The Executive Vice-President in Charge shall notify in writing the persons listed in Article 6-2, Paragraph 1, Items 2 through 6 of the Regulations that they are to be designated as engaged persons.
2. If deemed necessary to add any faculty or staff member under his/her supervision as engaged persons in carrying out whistleblowing response operations, the head of each department of the Central Administration, etc. in charge of whistleblowing response operations or a department subject to the investigation, etc. shall notify the Executive Vice-President in Charge of the department, title and name of the faculty or staff member and other necessary matters.
3. Upon receipt of a notification regarding the appointment of the faculty or staff member pursuant to Paragraph 1, the Executive Vice-President in Charge shall notify the head of each department of the Central Administration, etc. in charge of such notification or a department subject to the investigation, etc. of the department, title and name of the appointed engaged person, reportable facts and the date of designation of the engaged person and other necessary matters, in addition to the notice set forth in Paragraph 1.

(Ensuring Independence from the President and Executive Vice President)

Article 5. With regard to the cases received by the whistleblowing and consultation contact desk that are related to the President or Executive Vice-President, necessary measures shall be taken to ensure independence from the President or Executive Director concerned, depending on the nature of the case, in investigating the subject facts and implementing corrective measures.

(Initiatives for Corrective Measures)

Article 6

1. The Executive Vice-President in Charge shall direct the head of each department of the Central Administration, etc. or a department subject to the investigation, etc. to take corrective measures, etc., as necessary, setting a time limit.
2. The Executive Vice-President in Charge shall require each concerned department of the Central Administration, as necessary, to cooperate in initiatives for improvement to establish properly functioning corrective measures, etc.

(Elimination of Conflict of Interest in Whistleblowing Response Operations)

Article 7. Regarding whistleblowing response operations, anyone who substantially suffers a disadvantage from the detection of the reportable facts or the investigation result, anyone related to the case such as having a family relationship with the whistleblower and the person subject to the whistleblowing (hereinafter in this Article referred to as “Concerned Person(s)”) shall not be involved in whistleblowing response operations, and if any concerned person is identified, and the Concerned Person is engaged in whistleblowing response operations, the concerned person shall be removed from such whistleblowing response operations.

(Relief from Disadvantageous Treatment, etc.)

Article 8. The Executive Vice-President in Charge shall also explain the remedies and recovery measures when notifying the whistleblower of whether or not the report was accepted as set forth in Article 6, Paragraph 3 of the Regulations.

(Measures Concerning Education and Dissemination of Information to Officers and Staff Members)

Article 9

1. The officers and staff members of the University shall be educated and informed about the Regulations and other information related to whistleblowing by posting on the University's website and other appropriate means.
2. Inquiries and consultation by officers and staff members of the University about a mechanism and disadvantageous treatment of the whistleblowing response system shall be made to the whistleblowing and consultation contact desk.

(Notification of Investigation Results)

Article 10. Notification of the investigation results of an official investigation as set forth in Article 10 of the Regulations shall be made to the extent that does not hinder appropriate business performance and the protection of confidentiality, trust, reputation, privacy and the like of Concerned Persons.

(Evaluation and Inspection of the Whistleblowing Response System)

Article 11. In the periodic evaluation and inspection of the whistleblower response system stipulated in Article 13-2 of the Regulations, the content and number of reports, whether or not a preliminary investigation or full investigation is conducted, the results of the investigation, corrective measures, etc., and the results of such corrective measures, etc., shall be confirmed and verified.

(Disclosure of Operational Results)

Article 12. The summary of operational results of internal whistleblowing received by the whistleblowing and consultation contact desk shall be disclosed to officers and staff members of the University (excluding those retired) to the extent that it does not hinder appropriate business performance and the protection of confidentiality, trust, reputation, privacy and the like of Concerned Persons.

Supplementary Provisions

These Guidelines shall come into effect on June 1, 2022.