

The University of Tokyo Basic Rules on Compliance

March 24, 2011

Board Resolution

The University of Tokyo Rules No.64

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- (2) “Executive” means any one of the executive staff members listed in Section 1 of Chapter 2 of the University of Tokyo Rules on Basic Organizations (Rule No. 1 of 2004.4.1; hereinafter referred to as the “Rules on Organizations”).
- (3) “Academic and administrative staff” means members listed in Section 2 of Chapter 2 of the Rules on Organizations and any other temporary staff.
- (4) “Students” means those who are allowed to enter the University, to take courses and to audit classes based on the University Regulations.
- (5) “Members of the University” means executives, academic and administrative staff and students.
- (6) “Those equivalent to members of the University” means anyone other than the members of the University who participate or engage in management or activities of education and research of the University.
- (7) “Members etc. of the University” means members of the University and those equivalent to members of the University.
- (8) “Academic Organization” means the university-wide organizations and university academic organizations listed in Chapters 3 and 4 of the Rules on Organizations, the Secondary School attached to the Faculty of Education, and the University of Tokyo Hospital.
- (9) A “compliance irregularity” means a

Article 5 Senior Compliance Officer

1. The University shall have a Senior Compliance Officer in order to have him/her supervise operations concerning compliance.
2. The Senior Compliance Officer shall supervise the Executive Vice Presidents in dealing with compliance irregularities.
3. An Executive Vice President designated by the President shall serve as the Senior Compliance Officer.

Article 6 Compliance Officer

1. Each acaddech mpliaa

Senior Compliance Officer set forth in Paragraph 1 of Article 17.

Chapter 3 Prevention of Compliance Irregularities

Article 9 Education and Training

1. The Senior Compliance Officer shall

5. The Executive Vice President etc. who receives the report set forth in the preceding paragraph or becomes aware of compliance irregularities for her/himself shall report such compliance irregularities as he/she finds important promptly to the Senior Compliance Officer.
6. In the cases set forth in Paragraph 1 and 2, when there is a justifiable reason for not making a report, the hotlines specified in the next page.

A person who makes a report, or reports through the hotline or makes a complaint through the helplines about a compliance irregularity (hereinafter referred to as a “report etc.”, and the person who makes a report etc. as a “reporter”) shall do so based on objective and reasonable grounds and shall not do so with a purpose of defamation or any other wrongful purpose.

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Chapter 6 Investigating Compliance Irregularities

Article 17 Investigation Procedures concerning the Members etc. of the University

1. The Senior Compliance Officer who receives the report set forth in Paragraph 5 of Article 16 or Paragraph 2 of Article 15 pertaining to the members etc. of the University (excluding students) shall request the Compliance Officer or an Executive Vice President etc. who have jurisdiction over the matter to conduct an investigation of the facts concerning the compliance irregularities in question, if necessary. However, this shall not preclude the Senior Compliance Officer from conducting the investigation himself/herself such as establishing a new commission under his/her direct control.

When carrying out the investigation set forth in the preceding paragraph, the Compliance Officer, Executive Vice President etc. or the Senior Compliance Officer shall endeavor to ensure objectivity and fairness in the investigation, such as the participation of

Article18 Investigation Procedures concerning Students

1. Compliance irregularities pertaining to students shall be investigated appropriately with educational consideration on the responsibility of the head of the academic organization to which the students belong, and educational guidance shall be provided based on the result of the investigation as necessary.
2. The head of the academic organization shall, when he/she deems there is an act that may warrant a disciplinary action based on the result of the investigation set forth in the preceding paragraph, take appropriate actions such as notifying the President of his/her opinion.
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Article 21 Confidentiality Obligation

1. Members of the University shall not reveal secrets about the compliance irregularity they obtain such as information specifying the reporters etc. without justifiable grounds. The same shall apply even after they are no longer members of the University.
2. Members of the University shall take the necessary measures to prevent those equivalent to members of the University from revealing secrets about the compliance irregularity they obtain such as information specifying the reporters etc. without justifiable grounds.
3. Members etc. of the University shall not intend to specify the reporters etc. without justifiable grounds.
4. The Senior Compliance Officer, Executive Vice President etc. and the Compliance Officers shall take the necessary measures so that sufficient consideration is given to the provision concerning the preceding three paragraphs as much as possible and take proper measures for redress as much as possible.

Supplementary Provisions

These rules shall come into force on March 24, 2011

Supplementary Provisions

These rules shall come into force on April 1, 2011

These rules shall come into force on April 1, 2014

Supplementary Provisions

These rules shall come into force on July 1, 2014

Supplementary Provisions

These rules shall come into force on September 2, 2014

Supplementary Provisions

These rules shall come into force on April 1, 2015

Supplementary Provisions

These rules shall come into force on March 1, 2016

Supplementary Provisions

These rules shall come into force on April 1, 2016

Supplementary Provisions

These rules shall come into force on April 18, 2016

Supplementary Provisions

These rules shall come into force on May 19, 2016

Supplementary Provisions

These rules shall come into force on July 1, 2016

Supplementary Provisions

These rules shall come into force on October 1, 2016

Supplementary Provisions

These rules shall come into force on December 1, 2016

Supplementary Provisions

These rules shall come into force on February 1, 2017

Supplementary Provisions

These rules shall come into force on April 1, 2019

Supplementary Provisions

These rules shall come into force on May 1, 2019

Supplementary Provisions

These rules shall come into force on October 1, 2019

Supplementary Provisions

These rules shall come into force on December 1, 2019

Supplementary Provisions

These rules shall come into force on February 1, 2020

Supplementary Provisions

These rules shall come into force on April 1, 2020

Supplementary Provisions

These rules shall come into force on December 1, 2020

Supplementary Provisions

These rules shall come into force on June 1, 2022

Supplementary