

Chungnam National University
Guidelines for Receiving and Processing Reports on Corruption and
Protecting Whistleblowers

Established: May 16, 2015

Chapter 1 General Provisions

Article 1 (Purpose)

These guidelines are established to appropriately and efficiently carry out the duties related to receiving, processing, and protecting whistleblowers reporting acts of corruption or violations of the Code of Conduct for Public Officials of Chungnam National University (hereinafter referred to as "the University"), as prescribed in the Act on the Establishment and Operation of the Anti-Corruption and Civil Rights Commission (hereinafter referred to as the "Act") and its enforcement decree.

Article 2 (Definitions)

The terms used in these guidelines shall be defined as follows:

1. "Corruption" refers to acts falling under any of the items from subparagraph (a) to (d) of Article 2, Paragraph 4 of the Act.
2. "Code of Conduct for Public Officials" refers to the Code of Conduct for University Staff established and operated pursuant to Article 8, Paragraph 1 of the Act.
3. "Whistleblower" refers to any of the following individuals:
 - a. Those who report acts of corruption to Chungnam National University (hereinafter referred to as the "University").
 - b. Those who report acts of corruption to the Ministry of Education, the Anti-Corruption and Civil Rights Commission, the Board of Audit and Inspection, or investigative agencies.
 - c. Those who report violations of the Code of Conduct for Public Officials by University staff.
4. "Collaborator" refers to individuals, other than whistleblowers, who assist in the audit, investigation, or examination of reported matters through statements or submission of other materials related to the report.

Article 3 (Duties of the President)

1. The President shall fulfill the duty of fostering awareness of anti-corruption and establishing sound professional ethics among University staff through education, publicity, etc.
2. When the President recognizes any contradiction in laws, regulations, or administrative measures that may hinder the prevention of corruption, immediate improvement or correction shall be made.
3. The President shall make efforts to encourage reporting of acts of corruption and to protect whistleblowers.

Article 4 (Obligation of Staff)

1. Staff shall comply with the law, perform their duties kindly, fairly, and impartially, and shall not engage in any act of corruption or behavior that tarnishes their dignity.
2. If a staff member becomes aware of any act of corruption by another public official or is coerced or solicited to engage in corruption, they must promptly report it to the University, the Ministry of Education, the Anti-Corruption and Civil Rights Commission, the Board of Audit and Inspection, or an investigative agency.

Article 5 (Appointment of Responsible Officer)

1. The President shall designate a responsible officer in charge of receiving and handling reports of corruption, providing counseling to whistleblowers, and protecting whistleblowers, who oversees the audit or complaint investigation. In this case, the officer responsible for the Code of Conduct as stipulated in Article 4 of the "Code of Conduct for University Staff" may concurrently hold this position.
2. The President shall ensure that sufficient budget and personnel are provided to support the receipt, processing, and protection of whistleblowers and related tasks.
3. The responsible officer shall oversee matters related to the receipt, processing, and protection of whistleblowers and related education for University staff.

Chapter 2 Receipt and Processing of Reports

Article 6 (Consultation and Reception of Reports)

1. The responsible officer shall provide counseling on reports of corruption at a designated location, which may be conducted outside the University if necessary.
2. The responsible officer shall require individuals wishing to report acts of corruption to submit a written

document containing the whistleblower's personal information, the purpose and reason for the report, and evidence of the reported misconduct.

3. Notwithstanding Paragraph 2, in the case of illiterate individuals who are unable to directly write a report, a University staff member may assist in drafting the report on their behalf, and after reading the contents to the whistleblower, they may sign or affix a seal to the report.
4. The responsible officer shall ensure that counseling sessions and the contents of reports of corruption are not disclosed.

Article 7 (Investigation and Processing of Reports)

1. The responsible officer shall verify necessary details regarding the whistleblower, such as personal information, the circumstances and purpose of the report, and other specific information necessary for the investigation.
2. The responsible officer may demand attendance and statements from interested parties or relevant public officials within the necessary scope to verify the truthfulness of the reported matter or other relevant information, and may request the submission of necessary documents or materials.
3. The responsible officer shall take necessary measures, such as disciplinary actions or recoveries, if the alleged act of corruption is confirmed after the investigation of the reported matter.
4. If the responsible officer does not have the authority to investigate the reported matter or deems it inappropriate to conduct an investigation, they may guide the whistleblower to directly report to the Anti-Corruption and Civil Rights Commission, the Board of Audit and Inspection, investigative agencies, or the Ministry of Education, or transfer the case to relevant public agencies with the whistleblower's consent.
5. The responsible officer shall ensure that investigations are conducted fairly and impartially and that the rights and interests of whistleblowers are protected.

Article 8 (Processing of Reports)

1. The responsible officer shall promptly notify the whistleblower of the results of the investigation of the reported matter.
2. If it is determined that the reported matter is not an act of corruption or is outside the scope of the University's authority, the responsible officer shall provide a detailed explanation to the whistleblower and inform them of the procedures for directly reporting to relevant public agencies.
3. If the reported matter is acknowledged as an act of corruption, the responsible officer shall take necessary measures to prevent retribution against the whistleblower or collaborators and shall provide protection, including the maintenance of confidentiality, to prevent any disadvantage to whistleblowers.
4. The responsible officer shall record and manage all reports, investigation procedures, and results in

writing, and shall store them separately from other documents for a certain period.

5. The responsible officer shall prepare and submit an annual report on the receipt, processing, and investigation of reported matters to the President and the Minister of Education, and shall publicly disclose the contents to University staff.

Chapter 3 Protection of Whistleblowers

Article 9 (Protection of Whistleblowers)

1. The University shall protect whistleblowers from any disadvantage or adverse treatment resulting from the reporting of acts of corruption, and shall take necessary measures to prevent retribution against whistleblowers.
2. Protection measures for whistleblowers may include maintaining the confidentiality of their identity, relocation to a different department or position, provision of financial support for legal fees, and any other necessary measures to ensure their safety and security.
3. Whistleblowers who suffer any disadvantage or adverse treatment as a result of reporting acts of corruption may request the University to take corrective action, and the University shall promptly respond to such requests.
4. Whistleblowers who suffer any disadvantage or adverse treatment as a result of reporting acts of corruption may file a petition with the Anti-Corruption and Civil Rights Commission for relief, and the University shall fully cooperate with any investigation conducted by the Commission.

Article 10 (Prohibition of Retribution)

1. University staff shall not engage in any act of retaliation, discrimination, harassment, or disadvantageous treatment against whistleblowers or collaborators who report acts of corruption in good faith.
2. University staff who violate the provisions of Paragraph 1 shall be subject to disciplinary action in accordance with the relevant laws and regulations.

Article 11 (Education and Training)

1. The University shall provide regular education and training on the prevention of corruption, the protection of whistleblowers, and related matters to University staff to foster a culture of integrity and transparency.
2. The responsible officer shall develop and implement education and training programs in collaboration with relevant departments, such as the Office of Compliance and Audit, and shall ensure that all staff receive appropriate training on a regular basis.

Chapter 4 Supplementary Provisions

Article 12 (Protection of Personal Information)

1. The University shall handle the personal information of whistleblowers in accordance with the Act on the Protection of Personal Information held by Public Institutions and other relevant laws and regulations, and shall take necessary measures to ensure the confidentiality and security of such information.
2. The responsible officer shall be responsible for the management and protection of personal information collected in the process of receiving and processing reports of corruption, and shall take necessary measures to prevent unauthorized access, loss, destruction, alteration, or leakage of personal information.

Article 13 (Review and Amendment)

1. These guidelines may be reviewed and amended as necessary in accordance with changes in laws, regulations, and administrative policies related to the prevention of corruption and the protection of whistleblowers.
2. Any proposed amendments to these guidelines shall be submitted to the President for approval after consultation with relevant departments and organizations.

Article 14 (Enforcement Date)

These guidelines shall enter into force on May 16, 2015.

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