



MEMORANDUM

Subject: **Whistle Blowers Policy**

Date: 25 August 2015

To: All Staff and Students

From: University Staff Office

Preamble:

CEPT University is committed to honesty, integrity, openness and accountability and expects all its students and staff to maintain high standards in accordance with its policies and procedures. CEPT University came up with the Whistle Blowers Policy in August 2015. The Policy has been formulated in compliance with the Whistle Blowers Protection Act of 2014 enacted by the Parliament of India.

Policy:

Whistle-blower Policy applies to everyone who is a registered student, member of staff, or anyone contractually connected with CEPT University. The aims of this policy is to encourage student, staff, or anyone contractually connected to the University, without the fear of retaliation, to raise concerns regarding suspected unethical and/or illegal conduct or practices on a confidential and, if desired, anonymous basis, so that the University can address and correct inappropriate conduct and actions. The University shall inform about the policy to all through appropriate channels.

Type of concerns to be reported:

This policy covers malpractices and events which have taken place/suspected to take place involving

1. General malpractice e.g. immoral or unethical
2. Academic malpractice
3. Breaches of law or regulation e.g. health and safety obligations of the University
4. Criminal offences e.g. fraud or bribery



5. Financial or procedural irregularity
6. Manipulation of the University data
7. Breach of University policy
8. Violation of confidential / proprietary information
9. Violation of Intellectual Property Rights

This Policy should not be used in place of the University grievance procedures or be a route for raising malicious or unfounded allegations against colleagues, co-students, faculty members or staff.

Raising a whistleblowing concern

Concerns listed above should be reported preferably in writing as soon as practicable to:

- Unless the specific concern involves a complaint against the Registrar, all whistleblower complaints will be filed with the Registrar, CEPT University.
- When the specific concern involves a complaint against the Registrar, the whistleblower complaint will be filed with the Provost, CEPT University.

All complaints being filed should be clearly marked as being filed under the University's Whistleblower Policy.

All concerns raised shall be acknowledged and recorded within 5 working days of their receipt. Depending on the nature of the concern, it shall be reviewed and where appropriate, an investigation process shall be started. Where possible, feedback shall be provided to the person regarding the concern s/he has raised.

Confidentiality:

The University takes seriously its responsibility to enforce this Policy, and therefore encourages any person reporting a concern to identify him or herself so as to facilitate any resulting investigation. However, if the person wants to maintain confidentiality, the university shall ensure that his/her identity is not revealed to anyone other than those involved in investigating the concerns. Raising a concern anonymously does make it more difficult to investigate it properly. Concerns shall be kept confidential to the extent possible, consistent with the need to conduct a thorough and complete investigation.



Support:

The University provides protection for whistleblowers, who report genuine concerns, to ensure s/he is not treated unfairly by raising a concern. But, if the allegations are malicious, or motivated by personal gain the University may consider taking disciplinary action against the whistleblower.

Investigations:

The University shall determine the scope, manner, and parameters of the investigation and report to the appropriate University officers. All reports shall be promptly investigated, and appropriate corrective action shall be taken when warranted by the investigation. The compliance offices receiving reports has the responsibility for investigating concerns and issuing corrective actions and reports the same to the Office of the Provost and/or the Registrar; which in turn shall forward, as required, reports of all corrective actions to the President of the University.

Records:

The University shall retain on a strictly confidential basis for a period of seven (7) Years (or otherwise as required under the University's Record Retention and Disposal Policies in effect from time to time) all records relating to any reported concern and to the investigation and resolution thereof. All such records are confidential to the University, and such records shall be considered privileged and confidential, subject only to a lawful court order or a written request from relevant government authorities.

