

## **POLICY: Whistle-Blowers**

### **1. Introduction**

This policy is an integral component of the commitment of Enterprises University of Pretoria (Pty) Ltd (the 'company') to integrity and ethical business behaviour which is vital to the success of the company. A structurally sound and business effective whistle-blower policy is a significant step towards maintaining an environment where employees can act appropriately, without fear of retaliation.

This policy is consistent with the company's Code of Business Ethics and regulated by the Protected Disclosures Act 26 of 2000.

### **2. Purpose**

This policy aims to:

- Encourage all employees to disclose any wrongdoing that may be detrimental to the company;
- Establish a system or act as a reference guide to potential whistle-blowers;
- Create awareness of the whistle-blower policy and assure whistle-blower protection;
- Promote communication and transparency in the processes associated with whistle-blowing;
- Promote the eradication of unethical conduct, fraud and corruption within the company.

### **3. General**

#### **False allegations**

The policy presumes that employees will act in good faith and will not make false accusations when reporting any wrongdoing. An employee who knowingly or recklessly makes statements or disclosures that are not in good faith may be subject to firm disciplinary action. Employees who report acts of wrongdoings will continue to be held to the company's general job performance standards and adherence to the company's policies and procedures.

#### **Anonymous allegations**

Employees are encouraged to not to remain anonymous when making allegations or raising concerns as it is difficult to investigate. It is however, the prerogative of the employee to remain anonymous.

## **Confidentiality**

The company will make good faith efforts to protect the confidentiality of employees making reports, provided however, the company will be permitted to reveal the reporting employee's identity and confidential information to the extent necessary to permit a thorough and effective investigation. The company will not tolerate any effort made by any other person to ascertain the identity of any person who made a good faith allegation anonymously.

## **4. Examples of wrongdoings**

The following actions can be considered to be wrongdoings:

- Any dishonest, fraudulent or corrupt activities
- Theft of funds, supplies or other assets
- Improper conduct such as intimidation, improper business conduct, mismanagement of company resources
- Maladministration or financial misconduct in handling or reporting of money, financial transactions or other assets
- Using insider knowledge in an improper manner
- Actions causing injury, loss or damage
- Activities relating to a possible conflict of interest
- Disclosing confidential, proprietary or restricted information to external parties
- Irregularly accepting or receiving, requesting, offering or giving anything to or from contractors, clients, suppliers or other persons providing goods or services to the company
- Irregular destruction, removal or abuse of assets, furniture and equipment
- Deliberately omitting or refusing to report or act upon any such dishonest conduct
- Unauthorised and intentional access to, interference or interception of data and the misuse thereof
- Intentional negligence resulting in risks to the company
- Irregular download of data, internet misuse, incurring the risk of computer viruses
- Intentional breach of system security, irregular issuance of passwords
- Any similar or related irregularities

## 5. Reporting system guidelines

The following steps should be followed:

- a. Carefully consider the issue(s) before reporting
- b. Be reasonably certain of the claims/allegations to be made
- c. Do not be over-suspicious of people or actions taken by them
- d. When considering the proper action to follow always have due regard for consequences to innocent parties that may be inadvertently involved as a result of unfounded allegations or the adverse working conditions that may be created as a result
- e. The earlier a concern is expressed, the easier it is to take action
- f. The first step in the whistle-blowing process is for the employee to share his/her concern with their immediate manager
- g. If unable to do so, the concern may be registered with the external party engaged for this purpose
- h. Concerns should preferably be raised in writing but can also be reported anonymously
- i. All relevant information should be provided such as background for the concern, names, dates and places as well as the reason for the concern
- j. Although the employee is not expected to prove the truth of an allegation, he/she should be able to demonstrate that the report is being made on sufficient grounds and in good faith

## 6. How the report will be handled

All aspects around the investigation will be treated with utmost confidentiality to protect innocent persons involved.

The action taken by the company/external party in response to a report under this policy will depend on the nature of the concern.

**Initial Inquiries** – initial inquiries will be made to determine whether an investigation is appropriate and the form that it should take. Some concerns may be resolved without the need for investigation.

**Further investigation** – the matter may further be referred to the appropriate authorities for further investigation. If necessary, further information may be sought from the whistle-blower.

The company will communicate to the whistle-blower acknowledging the concern raised, inform on the further process to be followed and applicable time frames and provide a final response.

## 7. Administration

The custodian of the policy is the CEO of the company. Confidential records shall be kept of all concerns raised as well as of the outcomes of actions and investigations.

## 8. Contact information

The company has engaged the services of Gildenhuis Malatji Attorneys to whom allegations may be reported.

Disclosures must be clearly marked for the attention of Mr. JH Markgraaff through any of the following facilities:

- **Telephone number:** (012) 428 8658
- **Fax2email number:** 086 546 9626
- **Secure Email:** whistle@glmi.co.za
- **Post:** PO Box 619, Pretoria 0001
- **Web:** www.gminc.co.za

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