

Whistle-blowing guidelines

## 1 Introduction

The following guidelines, intended to protect people, and UCT operations, assets and reputation against wrong-doing, apply to all staff, students, consultants, vendors, contractors, and/or any other parties with a business relationship with the University.

## 2 Guidelines

Anyone with a reasonable basis for believing that an irregular acts has occurred or is occurring has a responsibility to report this immediately as outlined in section 3. Anyone making a report must act in good faith when reporting an allegation, and must disclose all information available to him or her relevant to the matter. An employee who acts against a whistleblower who has made a full report in good faith will be subject to legal sanction and University discipline up to and including termination of employment

A person making a report may choose to remain anonymous and not disclose any personal details. The University will take reasonable steps to protect the identity and disclosures of whistleblowers where the whistleblower requests this, where the whistleblower has acted in good faith and where he or she has disclosed all information available to him or her.

All information received via a hotline mechanism will be treated as confidential so long as it remains within the control of the organization.

Whistle-blowing is not a channel for reporting grievances or general complaints; these must be dealt with in terms of the University's grievance procedures;

No employee may be adversely affected because he/she refuses to carry out a directive which constitutes an irregularity.

## 3 Procedures for reporting

Confidential reporting (Identity disclosed) rather than anonymous reporting (Identity not disclosed) is encouraged. Both confidential and anonymous disclosures must be reported as follows:

- Written – to the Registrar's or Vice-Chancellor's Office (P O Box 594, Cape Town, 8000) or Independent External Service Provider of the UCT Hotline, KPMG on 0800 650 000

When making a report telephonically, the following information should be given:

- Telephone number (especially if a message is left);
- All relevant information concerning the allegation, including the department(s) and individual(s) involved, what has occurred and when it occurred.
- Name of caller (optional).

Written complaints must include at least the above information. Where a complainant provides his or her name and telephone number this information will not be passed on should the caller wish to remain anonymous.

The date of the call and all relevant information will be documented and will be investigated OR forwarded, as appropriate, to the Registrar's office for assessment and possible investigation. The investigation that follows will be done in a manner that protects the confidentiality and anonymity of the whistleblower. No attempts shall be made by any university staff to try to identify any persons wishing to remain anonymous.

The Registrar is responsible for the administration, revision, interpretation, and application of this guideline. The guideline will be reviewed annually by the Risk Management Committee.