

## **Ethical Compliance and Grievance Management Process**

### **1. Office for Ethical Compliance**

The Office for Ethical Compliance (OEC) is a dedicated entity at Woxsen University, ensuring that all institutional operations are conducted with the utmost integrity, transparency, and accountability. This office embodies the university's commitment to fostering an ethical and respectful environment.

#### **Key Responsibilities:**

- Develop, implement, and oversee ethical policies and guidelines across the university.
- Conduct training and provide resources on ethical practices for staff, faculty, and students.
- Serve as a central hub for addressing ethical concerns and compliance inquiries.
- Enforce adherence to anti-discrimination, anti-bribery, and anti-harassment policies.
- Monitor and promote the institution's Code of Conduct to uphold fairness, equity, and respect.

**Officer in Charge:** Dr. Annamaneni Sreelatha

Director – Compliance and Legal Studies

Location: Woxsen University

### **2. Reporting to the Office for Ethical Compliance**

To ensure all concerns and inquiries are addressed promptly and confidentially, the OEC provides the following mechanisms for reporting ethical issues:

#### **Reporting Mechanisms:**

- **Confidential Reporting Platform:** Secure online portal for reporting ethical concerns or violations.

- **Anonymous Reporting:** Anonymized submissions through designated channels or forms.
- **Direct Reporting:** Concerns can be submitted directly to Dr. Annamaneni Sreelatha in her capacity as the Director of Compliance and Legal Studies.
- **Whistleblower Protection:** Our organization has an internal reporting system to assure the confidentiality of whistleblowers, ensuring they can report concerns without fear of retaliation. This system also includes a grievance procedure for staff concerning any employment matter.

### **3. Staff Grievance Resolution Process**

Woxsen University is committed to cultivating a workplace where staff members feel valued and supported. The document outlines clear processes to address grievances in a fair, impartial, and confidential manner.

#### **Objectives:**

- Foster a culture where staff feel empowered to voice concerns without fear of retaliation.
- Resolve grievances efficiently and equitably through transparent mechanisms.
- Promote a healthy and inclusive workplace environment.

#### **Scope:**

This document applies to all Woxsen University staff, including full-time, part-time, and contractual employees. Grievances may relate to:

- Discrimination or harassment in the workplace.
- Unfair treatment or favoritism.
- Workplace health and safety issues.
- Breaches of the university's Code of Conduct.

#### **Grievance Resolution Process:**

##### **1. Informal Resolution:**

- Staff are encouraged to first address concerns directly with their immediate supervisor.
- If unresolved, guidance can be sought from the Office for Ethical Compliance.

**2. Formal Complaint:**

- Submit a written grievance through the university's reporting platform or grievance submission form.
- The grievance will be reviewed by the OEC or a designated Grievance Resolution Committee (GRC).

**3. Investigation:**

- An impartial investigation will be conducted, involving interviews and review of evidence.
- Both the complainant and respondent will have opportunities to provide their perspectives.

**4. Resolution and Follow-up:**

- Findings and recommendations will be communicated to the relevant parties.
- Corrective actions will be implemented, with ongoing monitoring to ensure compliance.

**Confidentiality and non-retaliation:**

- All grievances will be handled with strict confidentiality to protect the privacy of individuals involved.
- Retaliation against individuals who raise concerns or participate in investigations is strictly prohibited.

Woxsen University ensures a transparent, respectful, and ethical environment, led by the Office for Ethical Compliance under the direction of Dr. Annamaneni Sreelatha.