



THE SINGARENI COLLIERIES COMPANY LIMITED

(A Government Company)
Executive Establishment cell
Kothagudem Collieries (P.O) – 507101, Khammam Dist.
Telangana State
CIN: U10102TG1920SGC000571,
Phone: 08744 – 248116; Fax: 08744-248116

Ref.No.CRP/PER/C/37/ 3076

Kothagudem Collieries,

Date: 17- 12 - 2015

CIRCULAR

**All CGMs/GMs/Chiefs
All Areas & Corporate**

Sub: SCCL Whistle Blower Policy 2015 – Implementation - Reg.

*** **

The Board of Directors of SCCL in the 532nd Meeting held on 16.10.2015 at Hyderabad, has approved the Whistle Blower Policy of SCCL.

A copy of SCCL Whistle Blower Policy 2015 is enclosed herewith. The Policy comes into force with immediate effect.

It is requested to give wide publicity on the contents of the above Policy among all Executives and NCWA employees working under your administrative control.

The Policy is also available in our website : www.scclmines.com under RTI Act folder.


GM (Personnel)/EE

Encl : As above

c.c. C&MD
All Directors
ED(CM)/ED (Power Projects)
GM (CA) & CS
GM (HRD) & Appellate Authority under RTI Act 2005.
GM (CDN)
GM (MS) & Transparency Officer under RTI Act 205
GM (P) RC, IR & PM
GM (P)Welfare & CSR & PIO – please arrange to put the policy in SCCL website under RTI Act.
PM ERP, HYD



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SCCL WHISTLE BLOWER POLICY 2015

I. OBJECTIVE AND PURPOSE :

- 1.1 This policy is formulated to provide an opportunity to employees to report to the management instances of unethical behaviour, actual or suspected, fraud or violation of the Company's code of conduct.
- 1.2 This Policy is called "WHISTLE BLOWER POLICY".
- 1.3 It is to provide necessary safeguards for protection of employees from reprisals or victimization. However, a disciplinary action against the Whistle Blowers which occurs on account of poor job performance or misconduct by the Whistle Blower and which is independent of any disclosure made by the Whistle Blower shall not be protected under this policy.

2. DEFINITIONS :

- 2.1 "SCCL" means The Singareni Collieries Company Limited.
- 2.2 "Audit Committee" means the Audit Committee of the Board constituted by the Board of the Directors, SCCL in accordance with Section 177 of the Companies Act 2013.
- 2.3 "Competent Authority" means the Chairman & Managing Director of SCCL and will include any person(s) to whom he may delegate any of his powers as the Competent Authority under this policy from time to time. In case of conflict of interest (CMD being the subject person), Competent Authority means Chairman, Audit Committee.
- 2.4 "Employee" means an employee as defined in the SCCL Executive's Conduct, Discipline and Appeal Rules and employees of SCCL governed by Standing Orders.

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- 2.5 "Improper Activity" means unethical behaviour actual, actual or suspected fraud or violation of the Company's general guidelines by an employee of SCCL.
- 2.6 "Investigators" means those persons authorized, appointed, consulted or approached by the Chairman and Managing Director/Competent Authority in connection with conducting investigation into a protected disclosure and include the Auditors of SCCL.
- 2.7 "Protected Disclosure" means any communication made in good faith that discloses or demonstrates information that may be treated as evidence of unethical or improper activity.
- 2.8 "Screening Committee" means a Committee constituted under Whistle Blower Policy of SCCL, comprising, Chairman & MD or in his absence, a Functional Director as nominated by the C&MD and Chairman, Audit Committee or in his absence, a member of the Audit Committee as nominated by the Chairman, Audit Committee.
- 2.9 "Service Rules" means SCCL Executive's CDA Rules 1989 and Standing Orders in respect of NCWA employees of SCCL.
- 2.10 "Subject(s)" means an employee-officer/staff against or in relation to whom a Protected Disclosure has been made or evidence gathered during the course of investigation.
- 2.11 "Whistle Blower" means an employee making a Protected Disclosure under this policy.
- 2.12 "Motivated Complaint" means a complaint shall be deemed to be motivated if it is found to be deliberately false or motivated by revenge/enmity/mischief or extraneous considerations.
- 2.13 "Bonafide Complaint" means a complaint shall be deemed to be bonafide unless it is found to be motivated.


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3.0 ELIGIBILITY:

All employees/executives of SCCL are eligible to make "Protected Disclosures".

4.0 GUIDING PRINCIPLES

- 4.1 Protected disclosures shall be acted upon in a time bound manner.
- 4.2 Complete confidentiality of the Whistle Blower will be maintained.
- 4.3 The Whistle Blower and /or the person(s) processing the Protected Disclosure will not be subjected to victimization.
- 4.4 Evidence of the Protected Disclosure will not be concealed and appropriate action including the disciplinary action will be taken in case of attempts to conceal or destroy evidence.
- 4.5 'Subject' of the Protected Disclosure i.e., employee against or in relation to whom as protected disclosure has been made, will be provided an opportunity of being heard.
- 4.6 The Whistle Blower should bring an attention of the Competent Authority at the earliest any improper activity or practice. Although they are not required to provide proof, they must have sufficient cause for concern.
- 4.7 Whistle Blower shall co-operate with investigating authorities maintaining full confidentiality.
- 4.8 The Whistle Blower Policy does not tantamount in any manner to dilution of Vigilance mechanism in SCCL. Rather, it is over and above the existing Vigilance mechanism. Any protected disclosure made by an employee under this Policy, if perceived to have a vigilance angle, shall be referred to Chief Vigilance Officer, SCCL as per the existing practice.


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5.0 WHISTLE BLOWER ROLE & PROTECTION

ROLE :

- 5.1 The Whistle Blowers role is that of reporting party with reliable information.
- 5.2 The Whistle Blower is not required or expected to conduct any investigation on his own.
- 5.3 The Whistle Blower may also be associated with the investigations, of the case to warrants. However, he shall not have right to participate.
- 5.4 Protected Disclosure will be appropriately dealt with, by the Competent Authority.
- 5.5 The Whistle Blower shall have a right to be informed of the disposition of his disclosure except for overriding legal or other reasons.

PROTECTIONS :

- 5.6 Genuine Whistle Blowers will be accorded protection from any kind of harassment/unfair treatment/victimization. However, motivated and frivolous disclosures shall be discouraged.
- 5.7 If the Whistle Blower is required to give evidence in criminal or disciplinary proceedings, arrangements will be made for the Whistle Blower to receive evidence about the procedure. Expenses incurred by the Whistle Blower in connection with the above, towards travel etc will be reimbursed as per the normal entitlements.
- 5.8 A Whistle Blower may report any violation of clause 5.7 above to the Competent Authority who shall investigate into the same and take corrective action as may be required.
- 5.9 Any other Employee assisting in the said investigation shall also be protected to the same extent as the Whistle Blower.

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6.0 PROCEDURES - ESSENTIALS AND HANDLING OF PROTECTED DISCLOSURE :

- 6.1 The protected disclosure /complaint should be attached to a letter bearing the identity of the whistle blower/complainant i.e., his/her name, No, PF No. Designation and address, contact mobile phone number etc and should be inserted in an envelope which should be closed/secured/sealed.

The envelope thus secured/sealed should be addressed to the Competent Authority and should be super scribed "PROTECTED DISCLOSURE" (if the envelope is not superscribed and closed/sealed/secured, it will not be possible to provide protection to the whistle blower as specified under this Policy).

- 6.2 if the whistle blower believes that there is a conflict of interests between the Competent Authority and Whistle Blower, he may send his protected disclosure directly to Chairman, Audit Committee C/o General Manager (Corporate Affairs) & Company Secretary, SCCL.
- 6.3 Anonymous or pseudonymous Protected Disclosure shall not be entertained.
- 6.4 Protected Disclosure should either be typed or written in legible hand writing in any language listed in the Constitution of India and should provide a clear understanding of the improper activity involved or issue/concern raised. The reporting should be factual and not speculative in nature. It must contain as much relevant information as possible to allow for preliminary review and proper assessment.
- 6.5 Investigations into any improper activity which is the subject matter of an inquiry or order under "Public Servants" Inquiries Act 1850 or under the Commission of the Inquiry Act 1952 will not come under the purview of this policy.

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- 6.6 The contact details of Competent Authority for addressing and sending the Protected Disclosure are as follows:

The Chairman & MD, Competent Authority
Whistle Blower Mechanism,
Singareni Collieries Company Limited,
P.B.No. 18, Khiratabad,
Hyderabad - 500 004.

- 6.7 The contact details for addressing a Protected Disclosure to the Chairman, Audit Committee are as follows:

Chairman, Audit Committee
C/o GM (CA) & Company Secretary,
The Singareni Collieries Company Ltd.,
Kothagudem - 507 101.


- 6.8 Competent Authority shall mark the envelope containing the protected Disclosure to a dedicated confidential section, which shall maintain a record thereof and shall submit same to the Screening Committee.

- 6.9 The Screening Committee shall weed out frivolous/motivated complaints and the protected disclosures/bonafide complaints which requires further investigations shall be forwarded to the investigators nominated for this purpose, through the confidential section.

- 6.10 The Screening Committee shall Endeavour to meet as early as possible, preferably within 15 days of receipt of a Protected Disclosure.

7.0 INVESTIGATIONS AND ROLE OF INVESTIGATORS :

- 7.1 Investigated shall be launched if the Screening Committee is satisfied after preliminary review that :


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- (a) the alleged act constitute an improper or unethical activity or conduct, and
 - (b) the allegation is supported by information & specific enough to be investigated of in cases where the allegation is not supported by specific information; it is felt that the concerned matter deserves investigation.
- 7.2 The decision taken by the Screening Committee to conduct an investigation is by itself not to be construed as an accusation and is to be treated as a neutral fact finding process.
- 7.3 The identity of the subject(s) and the whistle blower will be kept confidential.
- 7.4 Subject(s) will normally be informed of the allegations and the commencement of a formal investigation and will be given opportunities for providing their inputs during the investigation.
- 7.5 Subject(s) shall have a duty to co-operate with the investigator(s) during the investigation to the extent that such cooperation will not compromise self incrimination protections available under the applicable laws.
- 7.6 Subject(s) have a responsibility not to interfere with the investigation. Evidence shall not be withheld, destroyed or tampered with, and witnesses shall not be influenced, coached, threatened or intimidated by the subject(s).
- 7.7 Unless there are compelling reasons not to do so, subject(s) will be given the opportunity to respond to material findings contained in an investigation report. No allegation of wrong doing against a Subject(s) shall be considered as maintainable unless there is good evidence in support of the allegation.

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7.8 The investigated shall be completed normally within 45 days from receipt of the disclosure of within such extended period as the Competent Authority may permit for reasons to recorded.

7.9 Subject(s) have a right to be informed of the outcome of the investigation, role of investigator(s).

7.10 Investigator(s) are required to conduct a process towards fact finding and analysis.

Investigator(s) shall have derived their authority from Competent Authority when acting within the course and scope of their investigation. The Investigator(s) shall submit his/their report to the Competent Authority.

7.11 The Investigator(s) shall perform their role in an independent and unbiased manner. Investigator(s) have a duty of fairness, objectivity, thoroughness, ethical behavior and observance of professional standards.

8.0 ACTION:

8.1 If the Competent Authority is of the opinion that investigation discloses existence of improper activity which is an offence punishable in law, the Competent Authority may direct the concerned authority to take disciplinary action under applicable statutory provisions including referring the matter to Chief Vigilance Officer, SCCL for appropriate action.

8.2 The Competent Authority shall take such other remedial action as deemed fit to remedy the improper activity mentioned in the protected disclosure and or to prevent the a recurrence of such improper activity.

8.3 If the Investigation discloses that no further action on the protected disclosure is warranted, the report shall be filed in the confidential section.

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- 8.4 If the Competent Authority is satisfied that the protected disclosure/complaint is false, motivated or vexatious, the Competent Authority may report the matter to concerned Disciplinary Authority for appropriate disciplinary action against the Whistle Blower.

9.0 GRIEVANCE :

- 9.1 If the Whistle Blower is aggrieved with the disposition of his or her complaint or if the Whistle Blower or Subject feels that protection, which either of them is entitled to has not been provided or has been disregarded, the whistle blower or subject as the case may be may make a representation in writing of his or her grievance to the C&MD of the Company, who will take such action in the manner as he considers necessary to redress the grievance.
- 9.2 If the Whistle Blower or Subject feels aggrieved with the action taken by C&MD of the Company on a representation made under clause 9.1, he, she may make a representation in writing of his or her grievance to the Chairman, Audit Committee, who shall take or direct such actions on the representation as he shall deem fit. The decision of the Chairman, Audit Committee shall be final and binding on the whistle blower and the subject(s).

10.0 REPORTING AND REVIEW :

- 10.1 The Competent Authority shall submit a report of the complaint, of the investigation conducted and of the action taken to the Chairman, Audit Committee, who shall have power to review any action or decision taken by the Competent Authority.
- 10.2 All employees of the Company shall abide by, obey and be bound to implement any decision taken or direction given by the Audit Committee.

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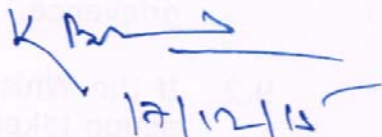
11.0 ANNUAL AFFIRMATION

11.1 The Company shall annually affirm that it has not denied any employee access to the Audit Committee and it has provided protection to the Whistle Blower from adverse action. The affirmation shall form part of Director's report as attached to the Annual Report of the Company.

12. SAVINGS:

This policy can be changed, modified or abrogated at any time by the Board of Directors of the Company.

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G.M. (PERSONNEL)/ EE,
THE S. C. CO. LTD.,
KOTHAGUDEM