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<p>Document title:</p> <p style="text-align: center;">Protection of Whistleblowers</p> <p>Approved by: (document editor) Date: 31. 7. 2023</p> <p style="text-align: center;">Dr. Martina Mannová, member of the board Radek Stavinoha, member of the board</p>		
No. of appendices:	5	Title of appendices:
		č. 1 – Appointment of the Relevant Person č. 2 – Record of Advising the Relevant Person and Their Rights and Obligations č. 3 – Record of Notification Acceptance č. 4 – Acknowledgment of Notification Acceptance č. 5 – Communication of Investigation Results
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First		

Art. I

Introductory provision

- (1) This central internal directive regulates the procedure for receiving and investigating reports of unlawful conduct according to Act No. 171/2023 Coll., on the protection of whistleblowers (hereinafter referred to as "**Report**" and "**Act**") at AMBIS University, a.s. (hereinafter referred to as "**AMBIS**").
- (2) Within the rules governing the internal reporting system/process, it regulates:
 - a. methods of submitting the Report,
 - b. the position of the designated person for receiving the Report (hereinafter referred to as the "**Relevant Person**"),
 - c. the rights and obligations of the person against whom the Report is directed (hereinafter referred to as the "**Affected Person**"),
 - d. the rights and obligations of individuals whom the Relevant Person requests to cooperate in connection with the submitted Report,
 - e. maintaining a record of Reports,
 - f. rules for handling documents arising from activities related to this directive.

b. Art. II

Jurisdiction and Authority

- (1) The relevant person receives and processes reports submitted by:
 - a. an employee of AMBIS, or a former employee of AMBIS,
 - b. a person performing work at AMBIS based on agreements for work performed or work activities,
 - c. an applicant for employment at AMBIS,
 - d. a student of AMBIS,
 - e. another person associated with AMBIS (e.g., a supplier), (hereinafter referred to as the "**Reporter**").
- (2) The report contains information about possible unlawful conduct that has occurred or is likely to occur at AMBIS and which:
 - a. constitutes a criminal offence,
 - b. constitutes an offence for which the law sets a fine, the upper limit of which is at least CZK 100,000,
 - c. violates the law on the protection of whistleblowers, or
 - d. violates any other legal regulation or regulation of the European Union in the field of:
 - i. financial services, mandatory auditing, and other verification services, financial products, and financial markets,
 - ii. corporate income tax,
 - iii. prevention of money laundering and terrorist financing,
 - iv. consumer protection,
 - v. compliance with requirements for products including their safety,
 - vi. transportation safety and operation on roads,
 - vii. environmental protection,
 - viii. food and feed safety and protection of animals and their health,
 - ix. radiation protection and nuclear safety,
 - x. competition, public auctions, and public procurement,
 - xi. internal order and security, life, and health,
 - xii. protection of personal data, privacy, and security of electronic communication networks and information systems,
 - xiii. protection of the financial interests of the European Union, or

- xiv. functioning of the internal market, including protection of competition and state aid according to EU law.
- (3) The report contains data on the name, surname, and date of birth, or other data from which the identity of the Reporter can be inferred; it is assumed that the identity data of the Reporter are true. The report does not need to contain the data according to the first sentence if it was submitted by a person whose identity is known to the relevant person.
- (4) The following shall not be considered part of the report under paragraph 1:
- a. information whose disclosure could immediately endanger:
 - i. the sovereignty, territorial integrity, and democratic foundations of the Czech Republic,
 - ii. internal order and security,
 - iii. lives and health of individuals on a larger scale,
 - iv. protection of information about public contracts in the field of defence or security, unless the awarding of these contracts is regulated by an EU regulation,
 - v. fulfilment of international obligations in the field of defence,
 - vi. significant security operations,
 - vii. the combat readiness of the armed forces of the Czech Republic, or
 - b. information about the activities of the intelligence services of the Czech Republic,
 - c. information, the disclosure of which would constitute a violation of the obligation to maintain the confidentiality of spiritual individuals in connection with the exercise of the sacramental seal or a right similar to the sacramental seal.

Art. III

Position of the Authorized Person

- (1) The relevant person may only be a natural person who is blameless, of legal age, fully competent, and possesses the professional and personal qualities necessary for the proper performance of the relevant person's duties.
- (2) The relevant person shall be appointed by the board of directors of AMBIS usually from among the employees of AMBIS, and the appointment template is attached as Annex 1 to this regulation.
- (3) The relevant person must be informed about their rights and obligations in receiving and investigating reports. The template for recording the information is attached as Annex 2 to this regulation.
- (4) The board of directors may, if necessary (e.g., representation, bias of the appointed relevant person, etc.), appoint multiple relevant persons.
- (5) Instructions cannot be given to the relevant person, nor can their activities be influenced in a manner that would hinder or jeopardize their proper performance. Supervision of the proper performance of the relevant person's activities by a superior employee is not affected by the requirement of impartiality and confidentiality of information related to reports under this internal regulation.
- (6) The relevant person shall promptly pass on the report to another relevant person for processing if, given their relationship to the whistleblower or the information provided in the report, there is reasonable doubt about their impartiality.
- (7) If the report cannot be passed on to another relevant person for processing, the relevant person shall inform the whistleblower of this fact and advise them of their right to submit the report through an external reporting system under the jurisdiction of the Ministry of Justice.

Art. IV

Obligations and Rights of the Authorized Person

- (1) The Authorized Person performs their duties personally.
- (2) The Authorized Person acts impartially in the performance of their duties.
- (3) The Authorized Person maintains the confidentiality of the identity of the Whistleblower and other persons with whom they have dealt in addressing the report. This does not apply if the Whistleblower or the Affected Person provides written consent to a procedure that may jeopardize the confidentiality of their identity.
- (4) The Authorized Person also maintains the confidentiality of information whose disclosure could thwart or endanger the purpose of filing the report, especially the proper investigation of the information contained in the report and the prevention or remedy of unlawful conduct.
- (5) The Authorized Person does not disclose information and personal data subject to confidentiality even upon request under the Freedom of Information Act.
- (6) The Authorized Person shall submit a written report to the Board of Directors by March 1 of the following calendar year on their activities for the previous calendar year. If this procedure does not breach the confidentiality requirement of this internal regulation, the report shall include at least:
 - a. the total number of reports received and the number of anonymous reports from this total,
 - b. the number of reports investigated under this regulation and the number of them that were anonymous, the number found to be substantiated, partially substantiated, or unsubstantiated or false,
 - c. a general description of the acts alleged in the reports investigated under the directive and this regulation,
 - d. proposed measures to rectify the undesirable situation.
- (7) (7) The Authorized Person is authorized, during the assessment of the validity of the report:
 - a. to demand proof of identity from the Affected Person or persons involved in the investigation,
 - b. to request information and the submission or accessibility of documents, audiovisual and digital recordings, and other items related to the report,
 - c. to create electronic images, excerpts, descriptions, or copies from the submitted or accessible documents,
 - d. to make copies of submitted or accessible audiovisual and digital recordings,
 - e. e. with the consent of the Affected Person or persons involved in the investigation, to record their oral statements or statements with sound or image,
 - f. to enter all premises of AMBIS that may be related to the report.
- (8) During the investigation, the Authorized Person is further authorized to request oral explanations from the Affected Person or persons involved in the investigation, which they may refuse to provide; the Authorized Person shall inform them of this fact. The Authorized Person shall make a record of the course and content of the explanation, or make an audio or video recording. The record shall be signed by the Authorized Person and the person who provided the explanation. This does not affect the obligation to maintain confidentiality under this regulation.
- (9) Furthermore, the Authorized Person is authorized to request employees of AMBIS to provide a written expert opinion on factual and legal questions related to the report within a reasonable period. This does not affect the obligation to maintain confidentiality under this internal regulation.

Art. V

Methods of submitting a report

- (1) Reports can be submitted within the internal reporting system by:
 - a. Electronically via email to whistleblowing@ambis.cz,
 - b. In writing to the address of AMBIS vysoká škola, a.s., Lindnerova 575/1, 180 00 Praha 8; the envelope must be marked with the words "Do not open - for the attention of the Relevant Person",
 - c. By telephone using the number published on the AMBIS website; the Relevant Person will make an accurate record of the report and its content with the Reporting Person, which the Reporting Person may verify, correct, and approve with their signature (Appendix No. 3),
 - d. In person by agreement with the Relevant Person; in such cases, the Relevant Person is obliged to accept the report within a reasonable period; during a personal meeting, the Relevant Person will make a record (Appendix No. 3).
- (2) Repeatedly submitted reports, if they do not contain new information compared to previously submitted reports by the same Reporting Person, are not investigated.
- (3) AMBIS may utilize an external reporting system for submitting reports. In such a case, this fact will be announced on the AMBIS website along with an explanation of how paragraph 1 will be applied.
- (4) Reports can also be submitted through the external reporting system of the Ministry of Justice. In this case, the report is received and assessed by the Ministry of Justice.

Art. VI

Handling of Reports

- (1) The Responsible Person shall notify the Reporter in writing of the receipt of the report no later than 7 days from the date of receipt of the report. Confirmation shall not be sent if the Reporter is unknown to the Responsible Person or if the Reporter has requested not to receive it (Annex No. 4).
- (2) The Responsible Person shall assess the validity of the information provided in the report and shall inform the Reporter in writing of the assessment results within 30 days from the date of receipt of the report. In complex cases, this period may be extended by up to 30 days, but no more than twice. The Responsible Person shall inform the Reporter in writing before the expiration of the deadline about the extension of the deadline and the reasons for it (Annex No. 5).
- (3) If the report does not contain all the necessary information or data, the Responsible Person shall request the Reporter to provide them.
- (4) If no unlawful act is found during the assessment of the validity of the report under this regulation, the Responsible Person shall inform the Reporter, within the period specified in paragraph 2, of the right to submit a report to the Ministry of Justice and the relevant public authority.
- (5) If potential unlawful conduct is identified during the assessment of the validity of the report, and if possible while preserving the confidentiality of the Reporter's identity and others, the Responsible Person shall promptly propose measures to prevent or rectify the unlawful situation.
- (6) The Responsible Person shall inform the Reporter in writing of the outcome of handling the report immediately upon completion, but no later than 90 days from the date of

receipt of the report. In addition to the outcome of the assessment of the validity of the information provided in the report, the Reporter shall be informed especially about:

- a. Protection to which the Reporter is entitled based on the report submitted,
 - b. Identified unlawful conduct,
 - c. Proposed preventive or corrective measures and the reasons for their proposal,
 - d. Preventive or corrective measures adopted and their validity if adopted within the deadline specified in this paragraph, and
 - e. Another method of handling the report.
- (7) If a report that should be received and handled by the Responsible Person is received by an unauthorized person, it must be forwarded to the Responsible Person for handling in a manner that ensures the confidentiality of the content of the report and the identity of the Reporter. All information related to such a report must be deleted from the document registry and the file, if possible.
- (8) If a submission is received by the Responsible Person, to which they are not competent, it shall be promptly forwarded to the relevant organizational unit of AMBIS. Before forwarding the submission, the Responsible Person shall inform the submitter that it is not a report under the Law. The Responsible Person shall erase or otherwise conceal information and personal data from which the identity of the submitter can be inferred, unless the submitter agrees to the disclosure of this information and data.
- (9) This regulation shall not affect the obligation under § 8 (1) of the Criminal Procedure Code and § 73 of the Act on Liability for Offenses and Proceedings Thereof.

Art. VII

Protection against retaliatory measures

- (1) No retaliatory measures related to the submission or investigation of a report shall be taken against the Whistleblower, individuals close to the Whistleblower, the Designated Person, as well as other individuals mentioned in the report or participating in the investigation. Such measures, if taken in connection with the report, may include in particular:
- a. Termination of employment or non-renewal of a fixed-term employment contract,
 - b. Termination of an employment relationship based on agreements for work performed or agreements for work activities,
 - c. Dismissal from a managerial position,
 - d. Reduction of salary, wages, or bonuses, or failure to grant a personal supplement,
 - e. Transfer or reassignment to another job,
 - f. Prevention of professional development,
 - g. Changes in working hours,
 - h. Requirement of medical examination or occupational health check-up,
 - i. Termination or withdrawal from a contract,
 - j. Infringement upon the right to privacy,
 - k. Pressure, intimidation, or other inappropriate behaviour.
- (2) Individuals who knowingly submit false reports or provide knowingly false information, or individuals who intend to use the submitted report as a means to restrict the employer's rights and obligations under the Labour Code, cannot claim protection against retaliatory measures.

Art. VIII

Recordkeeping and retention of reports

- (1) The relevant person maintains electronic records of received reports, including:
 - a. Date of report reception,
 - b. Name, surname, and contact address of the reporter, or other information from which the reporter's identity can be inferred if known,
 - c. Summary of the report's content and identification of the affected person if their identity is known,
 - d. Date of completion of the assessment of the report's validity by the relevant person and its outcome,
 - e. Proposed and adopted preventive or corrective measures.
- (2) The relevant person retains reports and documents related to the reports for a period of 5 years from the date of report receipt.
- (3) Only the relevant person has access to the records under paragraph 1 and to the reports and documents retained under paragraph 2.

Art. IX

Processing of personal data

- (1) The obligation to assess the impact of processing personal data on data protection does not apply to the processing of personal data in connection with reporting.
- (2) Personal data in relation to reporting is processed pursuant to Article 6(1)(c) of the General Data Protection Regulation (GDPR).
- (3) Special categories of personal data under Article 9(1) of the GDPR may be processed in relation to reporting based on Article 9(2)(e), (f), or (g) of the GDPR.
- (4) The information obligation under Articles 13 and 14 of the GDPR must be fulfilled while maintaining confidentiality under this regulation.
- (5) The exercise of the right of access to personal data under Article 15 of the GDPR may be granted to the data subject pursuant to Article 23 of the GDPR, provided that the confidentiality of the identity of the Reporting Party and other persons mentioned in the report is maintained.
- (6) A request for access to personal data concerning the report shall be forwarded by the person responsible for data protection to the Relevant Person for processing.
- (7) If the Relevant Person finds that no data is recorded in connection with the report or that an exception to the obligation to provide such information applies, the request shall be set aside without further action.
- (8) The obligation to report breaches of personal data security to the data subject shall be maintained while also

Art. X

Concluding provisions

- (1) The investigation of reports received before the effective date of this regulation shall be completed pursuant to this regulation.
- (2) All employees have the right to access this regulation, which is therefore available electronically in the directory of controlled documentation and in printed form at the personnel department and with the administrator of controlled documentation.

- (3) All employees are required to familiarize themselves with this central internal regulation.
- (4) Gender-neutral masculine forms are used in this regulation to refer to involved individuals.
- (5) This regulation comes into effect on the date of signature and becomes effective as of the date stated on the cover page.

Art. XI Distribution list

- (1) Copy 1 administrator copy.
- (2) Copy 2 loan copy.

Appendix No. 1 k CVP-P-11

APPOINTMENT OF THE RELEVANT PERSON

AMBIS University
Lindnerova 575/1
180 00 Prague 8

Members of the board of directors act on behalf of her/him

_____ *and* _____

appoint

pursuant to the central internal regulation CVP-P-11 Protection of Whistleblowers.

as the relevant person

Mrs/Ms/Mr/: _____

In day

In day

.....

.....

relevant person

.....
On behalf of AMBIS University

Appendix No. 2 k CVP-P-11

RECORD OF INSTRUCTION TO THE RELEVANT PERSON ABOUT THEIR RIGHTS AND OBLIGATIONS

Relevant person

Mrs /Ms/ Mr: _____

was informed

pursuant to Directive (EU) 2019/1937 of the European Parliament and of the Council of 23 October 2019 on the protection of persons who report breaches of Union law and in accordance with the Rules for the receipt and examination of reports of unlawful conduct constituting a breach of Union law (whistleblowing), and Act No. 171/2023 Coll., on the protection of whistleblowers, pursuant to the central internal regulation CVP-P-11 Protection of Whistleblowers.

about the rights and obligations of the relevant person.

In day

In day

.....

.....
AMBIS University

.....
Relevant person

Appendix No. 3 k CVP-P-11

RECORD OF RECEIVING THE REPORT

Relevant person

Degree, name, surname: _____

accepted

day: _____

from Mrs / Ms / Mr: _____

addressed: _____

telephone notification / personally made notification of unlawful conduct pursuant to Act No. 171/2023 Coll., on the protection of whistleblowers

The notification was of the following content:

The notification is recorded under no.: _____

In day In day

.....
Relevant person

.....
Whistleblower

Appendix No. 4 k CVP-P-11

CONFIRMATION OF RECEIPT OF REPORT

Relevant person

Mrs / Ms / Mr: _____

confirms receipt of the report

pursuant to the central internal regulation CVP-P-11 Protection of Whistleblowers

from Mrs/ Ms / Mr: _____

addressed: _____

on the date: _____

recorded under ref. no.: _____

You will be informed of the investigation outcome within ____ days of receiving the report.

In day

.....
Relevant person

Appendix No. 5 – k CVP-P-11

Mrs/Ms/Mr: _____

addressed: _____

Notification of Investigation Result

Relevant person

informs the following facts regarding the outcome of the investigation of the report received pursuant to the central internal regulation CVP-P-11 Protection of Whistleblowers from [date].

Mrs/Ms/Mr: _____

Addressed: _____

on the day: _____ and recorded under ref. no.: _____

On _____, I _____ as the relevant person, received the report pursuant to the above-mentioned regulation. The receipt of the report was confirmed to you on _____.

After assessment, I found the reported matter to be worthy of investigation. The investigation revealed the following facts.

Based on the findings mentioned above, measures for remedy have been taken, consisting of:

In day
Relevant person