

POLICY NO.: 1.22
POLICY TITLE: CONFIDENTIAL COMPLAINT REPORTING (Whistle-blowing)

The members of the Board of Trustees and College administration place the highest priority on ethical behavior as outlined in the College Code of Ethics. To ensure both that a high standard of conduct is maintained and that employees have an avenue through which to voice concerns, this policy establishes a confidential complaint reporting mechanism. All such complaints or comments will be held in the strictest confidence and there will be no personal repercussions to the person making the complaint.

Any member of the College community may report, and is encouraged to report, concerns or complaints regarding behavior occurring during the conduct of College business which conflicts with the Code of Ethics. Items reported may include concerns or complaints referencing any of the following: failure to follow College Policies and Procedures, conflict of interest, neglect/inappropriate conduct of fiduciary duties, or financial issues such as questionable accounting practices, inadequate internal controls, and auditing matters.

APPROVED BY THE BOARD OF TRUSTEES – NOVEMBER 10, 2005

PROCEDURES RELATED TO:

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1. Confidential complaints regarding the conduct of College business shall be reported to the Director, Internal Audit. Should the Director, Internal Audit, be the subject of the concern, or directly party to it, or should the person submitting the complaint prefer another reporting option, the complaint may be made to the President, or to the Chairperson of the Audit Committee of the Board.
2. Persons submitting complaints may self-identify or remain anonymous. Such individuals may choose to report in person, in writing, or via a telephone number established for this purpose on which caller identity is blocked. Regardless of the reporting vehicle chosen, individuals are encouraged to provide as much detail as possible to ensure accurate understanding of the concern.
3. Persons initiating disclosures are protected by law from retaliation for disclosing any conduct that the employee reasonably believes violates provisions of Federal law or is unethical fiduciary behavior that may adversely affect the College. Protecting the identity of individuals who report will be a primary concern for investigators.
4. Each complaint will be taken seriously, investigated thoroughly, and acted upon in a timely manner. The Director, Internal Audit, or alternate if required as noted in #1 above, shall ensure that the complaint is logged in on the form established for this purpose, investigate it, and make recommendations appropriate to the matter in question. Such recommendations may include notification of external authorities and, following

consultation with the Executive Director, Human Resources, disciplinary action may be taken as appropriate. The recommendations are normally made to the President, unless the President is involved, in which case the recommendation shall be made directly to the Chairperson of the Audit Committee of the Board.

5. No staff member or supervisor should conduct, directly influence or be involved in any investigative capacity in any inquiry into the activities of their own department or unit.
6. If the individual making the complaint or concern is identified, that individual will receive a response from the Director, Internal Audit, or alternate as described above. The response shall indicate that the matter has been investigated and that a report/recommendation has been made to address the matter. The specific recommendation or action is not normally included in the response to the complainant.
7. A report, including a copy of each complaint, as well as related investigation and resolution, shall be made within 30 days to the Chairperson of the Audit Committee of the Board of Trustees by the Director, Internal Audit. More timely reports may be made if circumstances warrant.
8. The Audit Committee of the Board shall provide the Board of Trustees with an annual report summarizing confidential complaint activity.
9. The Audit Committee has the authority to retain external counsel, such as legal or accounting resources, as appropriate to address complaints received.

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