

## **THE TAU BETA PI ASSOCIATION DRAFT**

### **Whistleblower Protection Policy—Assuring Business and Personal Ethics I**

A whistleblower, as defined by this policy, is any employee of Tau Beta Pi who reports an activity that he/she considers to be illegal or dishonest, to the parties specified in this policy. Examples of illegal or dishonest activities include violations of federal, state or local laws, theft, accepting bribes, fraudulent financial reporting and fraudulent recordkeeping. The whistleblower must exercise sound judgment to avoid baseless allegations. If a whistleblower intentionally files a false report of wrongdoing he or she will be subject to disciplinary action up to and including termination. The whistleblower is not responsible for investigating the activity or for determining fault or corrective measures; the officers specified below are charged with these responsibilities.

The whistleblower is to report the alleged violation to the Vice President, who will conduct an investigation that may involve other officers and staff, as appropriate, and on a “need to know” basis. Should the alleged violation be related to the Vice President, the whistleblower should report the activity to one or more of the other members of the Executive Council.

Insofar as possible, the confidentiality of the whistleblower will be maintained. However, identity may have to be disclosed to conduct a thorough investigation. A whistleblower may report a complaint anonymously. An employee who, in good faith, reports a violation of this policy shall suffer no harassment, retaliation, or adverse employment consequence. Any employee who retaliates against a whistleblower who has reported a violation in good faith is subject to disciplinary action up to and including termination of employment. Any whistleblower who believes that he/she has been retaliated against must contact the Vice President immediately. The right of a whistleblower to protection against retaliation does not include immunity for any personal wrongdoing on the part of the whistleblower that is alleged and investigated, whether that wrongdoing is directly related to the aforementioned activity or otherwise.

The Vice President will maintain a record of complaints, and they will be reported at least annually to the Executive Council and the Executive Director.

Adapted from AIP policy by R.W. Pierce/JDF

Not Approved by the Executive Council

Date: 2/22/08

**THE TAU BETA PI ASSOCIATION                      DRAFT**  
**WHISTLEBLOWER POLICY—Assuring Business and Personal Ethics II**

Tau Beta Pi requires directors, managers, supervisors, and all staff associates to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As staff associates and representatives of Tau Beta Pi, we must practice honesty and integrity in the course of fulfilling our responsibilities and comply with all applicable laws and regulations.

It is the responsibility of all directors, managers, supervisors, and all staff associates to comply with this Whistleblower policy by reporting violations or suspected violations.

Tau Beta Pi has an open-door policy and suggests that staff associates share their questions, concerns, suggestions, or complaints with someone who is able to properly assist them. Generally your immediate supervisor should be your first point of contact. In the event you are uncomfortable speaking with your direct supervisor, contact the Executive Director or a Councillor in that order. Supervisors are required to report suspected or known violations to the Executive Director who has responsibility to facilitate an investigation of all reported violations. All violations will be reported to the Vice President until the matter is resolved. If resolution is not reached internally, or if the violation or suspected violation is of an egregious nature, the final resource for staff associates is to contact the President. You may then select a method to reach the President.

Anyone filing a complaint concerning a violation of suspected violation should act in good faith and have reasonable grounds for believing the information disclosed indicates a violation. Any allegations that cannot be substantiated and which prove to have been made maliciously or are knowingly false will be viewed as a serious disciplinary offense.

Violations may be submitted anonymously or on a strictly confidential basis by the complainant. Confidentiality will be guarded to the extent possible, consistent with the need to conduct an adequate investigation.

The Executive Director or Councillor will notify the sender and acknowledge receipt of the reported violation or suspected violation within 10 business days. All reports will be promptly investigated on a consistent basis, and appropriate corrective action will be taken.

No director, manager, supervisor, or other staff associate who in good faith reports a violation of this policy shall suffer harassment, retaliation, or adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to disciplinary action up to and including termination of employment. The Whistleblower Policy is intended to encourage and enable staff associates to raise serious concerns within the organization prior to seeking resolution outside the organization.

Adapted from ASM policy

Approved by the Executive Council:

Date: 2/20/08

**THE TAU BETA PI ASSOCIATION      DRAFT**  
**WHISTLEBLOWER POLICY—Assuring Business and Personal Ethics III**

A whistleblower, as defined by this policy, is an employee of Tau Beta Pi who reports an activity to the parties specified in this policy, that he/she considers to be illegal or dishonest. The whistleblower is not responsible for investigating the activity or for determining fault or corrective measures; appropriate management officials are charged with these responsibilities.

Examples of illegal or dishonest activities include violations of federal, state or local laws, theft, accepting bribes, fraudulent financial reporting and fraudulent recordkeeping.

If an employee has knowledge of or a concern of illegal or dishonest activity, the employee is to contact his/her immediate supervisor and the Executive Director and/or the President and/or the Vice President. If the employee is concerned about the actions of his/her immediate supervisor, then the employee may go directly to the Executive Director and/or the President and/or the Vice President. The employee who reports the activity must exercise sound judgment to avoid baseless allegations. An employee who intentionally files a false report of wrongdoing will be subject to disciplinary action up to and including termination.

Whistleblower protections are provided in two important areas—confidentiality and protection against retaliation. Insofar as possible, the confidentiality of the whistleblower will be maintained. However, identity may have to be disclosed to conduct a thorough investigation, to comply with the law and to provide accused individuals their legal rights of defense. TBP will not retaliate against a whistleblower. This includes, but is not limited to, protection from retaliation in the form of an adverse employment action such as termination, compensation decreases, poor work assignments, and threats of physical harm. Any whistleblower who believes that he/she is being retaliated against must contact the Executive Director and/or the President and/or the Vice President immediately. The right of a whistleblower for protection against retaliation does not include immunity for any personal wrongdoing that is alleged and investigated.

Each reported incident will be investigated by an investigation team typically consisting of the following people and groups: the respective supervisors of the party or parties involved and possibly other management staff and employees or Councillors. The Executive Director and/or the Vice President will maintain a record of complaints, and they will be reported at least annually to the Executive Council.

Adapted from APS policy  
Approved by the Executive Council:

Date: 2/20/08