

# **Kappa Omicron Nu Whistleblower Policy – Draft 1**

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## **General**

Kappa Omicron Nu Code of Ethics and Conduct (“Code”) requires directors, officers, and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of the Organization, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

## **Reporting Responsibility**

It is the responsibility of all directors, officers, and employees to comply with the Code and to report violations or suspected violations in accordance with this Whistleblower Policy.

## **No Retaliation**

No director, officer, or employee who in good faith reports a violation of the Code 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 discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within the Organization prior to seeking resolution outside the Organization.

## **Reporting Violations**

The Code addresses the Organization’s open door policy and suggests that employees share their questions, concerns, suggestions, or complaints with someone who can address them properly. In most cases, the Executive Director is in the best position to address an area of concern. However, if you are not comfortable speaking with the Executive Director or you are not satisfied with the response, you are encouraged to speak with the Board Chair or anyone on the Board of Directors whom you are comfortable in approaching. The Executive Director is required to report suspected violations of the Code of Conduct to the Board Chair, who has specific and exclusive responsibility to investigate all reported violations. For suspected fraud, or when you are not satisfied or uncomfortable with following the Organization’s open door policy, individuals should contact the Board Chair directly.

## **Compliance Officer**

The Board Chair is responsible for investigating and resolving all reported complaints and allegations concerning violations of the Code and, at his/her discretion, shall advise the Executive Director and/or the Board of Directors.

## **Accounting and Auditing Matters**

The board of directors shall address all reported concerns or complaints regarding corporate accounting practices, internal controls, or auditing.

### **Acting in Good Faith**

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

### **Confidentiality**

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

### **Handling of Reported Violations**

The Board Chair will notify the sender and acknowledge receipt of the reported violation or suspected violation within ten business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

Dr. Sammie Garner, Chair, Board of Directors, Kappa Omicron Nu

Dr. Dorothy I. Mitstifer, Executive Director, Kappa Omicron Nu

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