



POLICY: WHISTLEBLOWERS
SECTION: PERSONNEL

POLICY #: 202
EFFECTIVE: 03/11/2010

BACKGROUND · PURPOSE

ASC employees have a responsibility for the stewardship of corporate resources that enables it to pursue its mission of supporting CSU Fullerton (University). ASC is committed to compliance with the laws and regulations to which it is subject and to promulgating ASC and University policies and procedures in the University setting. Laws, regulations, policies and procedures strengthen and promote ethical practices and treatment of the members of the community and those who conduct business with the ASC.

ASC's internal controls and operating procedures are intended to detect, prevent or deter improper activities. However, even the best systems of control cannot provide absolute safeguards against irregularities. Intentional and unintentional violations of laws, regulations, policies and procedures may occur and may constitute improper activities. The ASC has a responsibility to investigate allegations of suspected improper activities.

POLICY & PRACTICE

Reporting Responsibility

It is the responsibility of all Board directors, employees and volunteers to report violations or suspected violations in accordance with this policy.

No Retaliation

No individual who in good faith reports a violation under this policy shall suffer harassment, retaliation or adverse employment consequences. 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 ASC.

Reporting Violations

Individuals should share their questions, concerns, suggestions or complaints with someone who can address them properly. In most cases, employees and volunteers should make reports directly to the Executive Director. However, if an employee or volunteer is not comfortable speaking with the Executive Director, or is not satisfied with the response, that employee or volunteer is encouraged to report to the Chief Financial Officer, General Counsel or any officer of the ASC.

Acting in Good Faith

Any good faith report, concern or complaint is fully protected by this policy, even if the report, question or concern is, after investigation, not substantiated. Anyone filing a complaint concerning a violation or suspected violation must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation. Any allegations that prove not to be substantiated, and have been made maliciously or with knowledge that they were false, will be treated 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. ASC will use its best efforts to protect the confidentiality of the complainant. 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

All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation. The complainant will be informed that follow-up has occurred or is occurring within three weeks from the time the Executive Director or board officer has received the complaint or report. The Executive Committee shall be informed of all such complaints or reports.

APPROVAL

Approved by the ASC Board of Directors on 03/11/2010, effective immediately.