

College Procedure: 400.13 – Whistleblower

Policy Reference:	400 – Employee Ethics and Conduct
Responsible Department:	Human Resources
Approval Authority:	Cabinet
Procedure Owner:	Vice President, Human Resources and Institutional Effectiveness
Effective Date:	08/27/2013

Version Number:	3
Legal Counsel Reviewed (yes/no):	No
Scope:	College-wide

Reason for Procedure

Kirkwood Community College requires that all employees observe the highest standard of business and personal ethics as they carry out their duties and responsibilities. As representatives of the College, employees must practice honesty and integrity in fulfilling responsibilities and comply with all applicable laws and regulations.

The reason for this procedure is to comply with the Sarbanes-Oxley Act and to provide a means for employees to file a complaint if they become aware of a policy, practice or activity of Kirkwood Community College that is in violation of a law or regulation. Additionally, this procedure is intended to encourage and enable employees and others to raise concerns within the College prior to seeking resolution outside the College.

The Procedure

No Retaliation

No employee who in good faith reports a violation of a law shall suffer harassment or retaliation, nor will he or she suffer any 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.

Reporting Violations

In most cases, the employee's supervisor is in the best position to address an area of concern. However, if an employee is not comfortable speaking with his or her supervisor, or is not satisfied with the supervisor's response, the employee is encouraged to speak with anyone on the President's Cabinet or in Human Resources that he or she is comfortable approaching. Supervisors and Cabinet members are required to report suspected violations to the College's Board President, who acts in a "compliance officer" capacity for the College. The Board President has specific and exclusive responsibility to investigate all reported violations. For suspected fraud, or if an employee is either not satisfied, or

uncomfortable even after following the reporting line, the employee should contact the Board President directly.

Ethics Point, an anonymous ethics and compliance hotline, can be utilized for reporting possible ethics violations. The purpose of this secure third-party service is to ensure that any employee wishing to report an ethics concern can do so anonymously. Ethics Point provides a toll-free number and a web intake site, both of which are available 24 hours a day, seven days a week for use by employees. Examples of unethical activities that can be reported on the hotline include financial improprieties, fraud, being asked to violate workplace safety protocols, use of College computers/technology for things other than Kirkwood business, conflicts of interest and other similar items. This hotline should not be used to report issues that are typically handled through Human Resources or Student Services including issues concerning discrimination, harassment or student conduct.

Link to Ethics Point: <https://secure.ethicspoint.com/domain/media/en/gui/65942/index.html>

Acting in Good Faith

Anyone filing a complaint concerning a violation or suspected violation of the law must be acting in good faith and have reasonable grounds for believing that the information disclosed indicates a violation of the law. Any allegations that prove to be false or unsubstantiated and which prove to have been made maliciously or knowingly will be viewed as a serious offense requiring disciplinary action.

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 as much as possible, consistent with the need to conduct an adequate investigation.

Handling of Reported Violations

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

References

SARBANES-OXLEY ACT

Revision Log

Table 1 Revision Log

Version Number	Date Approved	Approved by	Description of Change
1	10/11/2013	Mick Starceovich, President	New procedure
2	09/01/2017	Cabinet	New template
3	11/06/2019	Cabinet	Procedure template