



<b>POLICY:</b>	<b>WHISTLEBLOWER POLICY: REPORTING ETHICAL OR FRAUDULENT VIOLATIONS</b>
<b>EFFECTIVE DATE:</b>	<b>APRIL 9, 2010</b>
<b>REVISED DATE:</b>	<b>JUNE 26, 2012</b>
<b>APPROVAL DATE:</b>	<b>JULY 11, 2012</b>

**PURPOSE**

To establish policy defining the responsibility of ASI Board of Directors members, professional and student employees, and volunteers to report possible ethics violation(s); procedures for reporting violation(s); and an individual’s rights and protection in reporting violation(s).

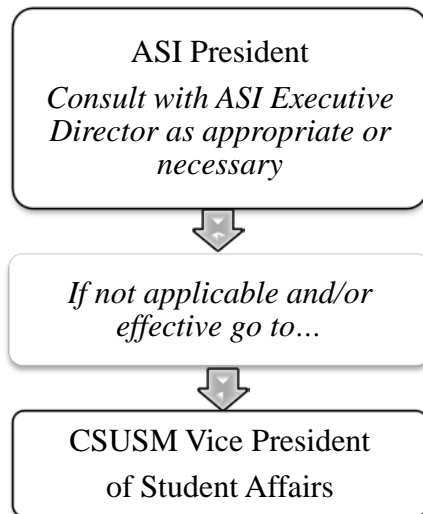
**POLICY AND PROCEDURES**

- A) In the performance of their official duties, the ASI Board of Directors and all professional and student employees and volunteers (hereinafter called members) are prohibited from engaging in any violation of ethics, such as waste, fraud, abuse of authority, violation of law, improper activities, or activities that create significant threats to the health and/or safety of ASI or the campus community. It is the responsibility of all members to report violations or suspected violations as described above in accordance with this Whistleblower Policy.
- B) 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 an ethics violation. False allegations may result in disciplinary action.
- C) Suspected violations may be submitted on an anonymous or confidential basis by any member. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.
- D) ASI members are encouraged to report ethics violation(s) without fear of retribution or retaliation. No member who in good faith reports a violation shall suffer harassment, retaliation, or adverse employment consequences. Retaliation against someone who has reported a violation is not permissible and may result in disciplinary action.

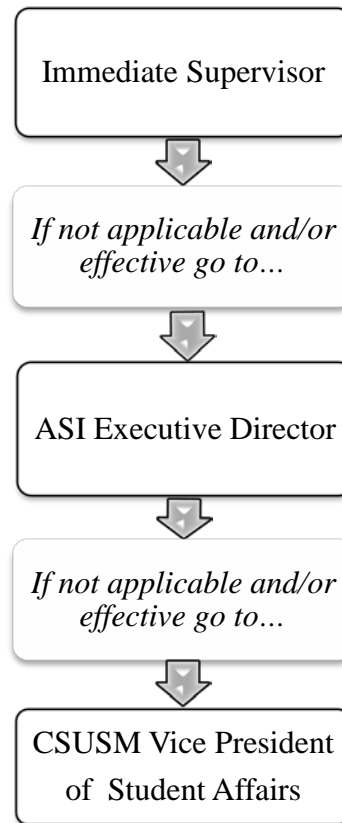
E) Reporting Process:

- 1) ASI encourages members to share their questions, concerns, suggestions, or complaints with someone who can address the issues properly. A member's supervisor is in the best position to address a concern. However, if the member suspects the supervisor of a violation and/or if the supervisor has not taken action, the member is encouraged to follow the process outlined below.
- 2) The reporting process for members of the Board of Directors (BOD) differs from that of professional staff, student employees, and/or volunteers.

Process for BOD Members



Process for Professional Staff, Student Employees, & Volunteers



- 3) All reports will be investigated. Corrective action will be taken as warranted by the investigation.
- 4) Individuals who prefer to make a confidential report to the California State Auditor may do so by calling the Whistleblower Hotline at 800-952-5665; submitting a complaint online to <http://www.bsa.ca.gov/hotline/filecomp>; or mailing information to the following address:

Investigations, Bureau of State Audits  
California State Auditor  
555 Capitol Mall, Suite 300  
Sacramento, CA 95814