


The Clock Tower Schools  Policies and Procedures		Policy Number 3.1b
Chapter 3: Personnel		
Subject: Whistleblower Policy		
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I. POLICY:

The Clock Tower Schools, Inc. is committed to facilitating open and honest communication about its governance, finances, and compliance with all applicable laws and regulations. The Clock Tower Schools requires all members of its Board of Managers (referred to hereafter as “the Board”) and all employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. Members of the Board, employees, and representatives of the organization must practice honesty and integrity in fulfilling their responsibilities and comply with all laws and regulations that apply to their work. This Whistleblower Policy (“Policy”) identifies practices and principles of behavior that support this commitment. It is important that The Clock Tower Schools be notified about unlawful or improper workplace behavior including, but not limited to, any of the following conduct:

- Theft;
- Financial reporting that is fraudulent, intentionally misleading, or negligent in any manner;
- Improper or undocumented financial transactions;
- Forgery or alteration of documents;
- Unauthorized alteration or manipulation of computer files;
- Improper destruction of records;
- Improper use of The Clock Tower Schools assets, or waste of those assets including but not limited to its funds, supplies, intellectual property, and other assets;
- Improper access and or use of confidential donor information;
- Authorizing or receiving compensation for goods not received or services not performed;
- Violation of The Clock Tower Schools conflict of interest policy;
- Any other improper occurrence regarding cash, financial procedures, or reporting;
- Any abuse of or unlawful discrimination against a The Clock Tower Schools employee, vendor, or person connected with an employee, representative or student of The Clock Tower Schools;
- A failure by The Clock Tower Schools to provide a reasonable accommodation when required by law; or

- Violation of a state, federal or local law, regulation, ordinance, code of conduct or code of ethics designed to protect the interest of the public or The Clock Tower Schools.
(Hereinafter collectively referred to as “Whistleblower Concerns”).

II. PROCEDURE:

No Retaliation

The purpose of this policy is to encourage the reporting, early detection, and correction of genuine Whistleblower Concerns. The Clock Tower Schools affirmatively encourages Members of the Board and employees to report real or suspected improprieties without fear of retaliation or intimidation. To assure that Whistleblower Concerns are minimized and eliminated, The Clock Tower Schools requests the assistance of every member of the Board and every employee who has a reasonable belief or a reasonable suspicion that a Whistleblower Concern exists. The Clock Tower Schools values this input and each member of the Board and each employee should feel free to raise issues of concern, in good faith, without fear of retaliation. Members of the Board and employees who do so will not be subject to removal, nor will they be disciplined, demoted, lose their jobs, or be retaliated against. While The Clock Tower Schools has separate policies that cover harassment and employment discrimination, allegations of this type of behavior are also covered by this policy.

Reporting Procedures

In order to encourage disclosure and allow for the effective investigation of all reports, it is important that **all reports are made in writing** and submitted to the corporate compliance agents. The current corporate compliance agents are: Director of Special Services/Regulatory Compliance or Human Resources Department. The report should include names and titles of individuals referred to in the report and specific information describing the suspected Whistleblower Concern including dates, times and locations where applicable.

Confidentiality

The Clock Tower Schools encourages anyone reporting a Whistleblower Concern to identify himself or herself when making a report in order to facilitate the investigation of the issue. However, reports may be submitted anonymously. Reports of Whistleblower Concerns or suspected Concerns will be kept confidential to the greatest extent possible, with the understanding that confidentiality may not be maintained where identification is required by law or in order to enable The Clock Tower Schools or law enforcement to conduct an adequate investigation. When making a report, please also keep in mind that the people accused of possible improper conduct will be confronted with the allegations against them.

Once a report of a Whistleblower Concern has been made and once an investigation has begun, disclosure of the report or its contents to individuals not involved in the investigation will be viewed as a serious disciplinary offense and may result in discipline, up to and including termination of employment. Such conduct may also give rise to other actions, including civil lawsuits.

Acting in Good Faith

Anyone reporting a Whistleblower Concern must act in good faith and have reasonable grounds for believing the information disclosed relates to a Whistleblower Concern as defined by this Policy. For purposes of this policy, reporting in good faith means that the reporter has either firsthand knowledge of a Whistleblower Concern, or has received information from a source that a reasonable person would deem reliable that a Whistleblower Concern exists. The knowledge or information that serves as the basis for a good faith report must be of the type that a reasonably prudent person would use to form an opinion that a Whistleblower Concern DOES exist or that one MIGHT exist. Certainty as to the existence of a Whistleblower Concern is not required for a report to be made in good faith.

Conversely, allegations that are false or that are made maliciously, recklessly, or with the foreknowledge that the allegations are false, will be viewed as a serious disciplinary offense and may result in discipline, up to and including termination of employment or removal from the Board. Such conduct may also give rise to other actions, including civil lawsuits. Examples of a bad faith report would include one based on facts that the reporter invents. It might also include a report that cannot be supported by real evidence when the reporter knew or should have known that the report was false or unsupportable. Intentionally false reports are another example of a bad faith report. While this policy is real and while The Clock Tower Schools will make serious efforts to enforce the standards set forth here, this policy is not to be used as a mechanism for harassment or revenge or for advancing one's personal agenda through false or malicious reports.

Handling of Reported Violations

The action taken by The Clock Tower Schools in response to a report of a Whistleblower Concern under this policy will depend on the nature of the concern. Normally, all reports shall be disclosed immediately to the President of the Board of Managers and to the Executive Director of The Clock Tower Schools. Together with the corporate compliance agent, these persons will then make decisions about who, if anyone else, should be notified of the report or its contents. These three persons shall also make decisions about whether an investigation is warranted and, if so, how it will proceed. The report shall not be disclosed to the President or the Executive Director if, in the opinion of the corporate compliance agent, making the disclosure to either the President or the Executive Director could compromise the integrity of an investigation. In this event, disclosure shall be made to the Secretary of the Board. Some concerns may be resolved without the need for investigation. The amount of contact between the whistleblower and the person or persons investigating the concern will depend on the nature of the issue and the clarity of the information provided. Further information may be sought from or provided to the person reporting the concern.

Posting and Notification

This policy is to be posted in The Clock Tower Schools offices and on The Clock Tower Schools website. It will also be communicated to all new staff and Board members as part of their orientation. This policy shall also be available to volunteers and staff members upon request.