



Community
Foundation
of the
Dan River Region

541 Loyal St · Danville, VA 24541 · 434.793.0884 · www.cfdr.org

Whistleblower Policy

(Approved by the Board September 26, 2022)

In keeping with the policy of maintaining the highest standards of conduct and ethics, The Community Foundation of the Dan River Region (Foundation) will investigate any suspected fraudulent or dishonest use or misuse of the Foundation's resources or property by staff, Board members, committee members, consultants or volunteers.

The Community Foundation of the Dan River Region is committed to maintaining the highest standards of conduct and ethical behavior and promotes a working environment that values respect, fairness and integrity. All staff, Board members and volunteers shall act with honesty, integrity and openness in all their dealings as representatives for the organization. Failure to follow these standards will result in disciplinary action including possible termination of employment, dismissal from one's Board or volunteer duties and possible civil or criminal prosecution, if warranted.

This Whistleblower Policy is intended to **encourage and enable** staff, Board members, committee members, consultants and volunteers to report suspected fraudulent or dishonest conduct (i.e. to act as "whistle-blower"), pursuant to the procedures set forth below.

Reporting

A person's concerns about possible fraudulent or dishonest use or misuse of resources or property should be reported to the Executive Director. If for any reason a person finds it difficult to report his or her concerns to the Executive Director, the person may report the concerns directly to the President of the Foundation Board. Alternately, to facilitate reporting of suspected violations where the reporter wishes to remain anonymous, a written statement may be submitted to one of the individuals listed above.

Definitions

Baseless Allegations: Allegations made with reckless disregard for their truth or falsity. People making such allegations may be subject to disciplinary action by the Foundation, and/or legal claims by individuals accused of such conduct.

Fraudulent or Dishonest Conduct: A deliberate act or failure to act with the intention of obtaining an unauthorized benefit. Examples of such conduct include, but are not limited to:

- forgery or alteration of documents;
- unauthorized alteration or manipulation of computer files;

- fraudulent financial reporting;
- pursuit of a benefit or advantage in violation of The Community Foundation of the Dan River Region's *Conflict of Interest Policy*;
- misappropriation or misuse of Foundation resources, such as funds, supplies, or other assets;
- authorizing or receiving compensation for goods not received or services not performed; and
- authorizing or receiving compensation for hours not worked

Whistle-Blower: An employee, Board member, committee member, consultant or volunteer who informs the President or Executive Director about an activity relating to the Foundation which that person believes to be fraudulent or dishonest.

Rights and Responsibilities

Executive Director

The Executive Director is required to report suspected fraudulent or dishonest conduct to the Board President

Reasonable care should be taken in dealing with suspected misconduct to avoid:

- Baseless allegations;
- Premature notice to persons suspected of misconduct and/or disclosure of suspected misconduct to others not involved with the investigation; and
- Violations of a person's rights under law

Due to the important yet sensitive nature of the suspected violations, effective professional follow-up is critical. Any person, while appropriately concerned about "getting to the bottom" of such issues, should not in any circumstances perform any investigative or other follow up steps on their own. Accordingly, any person who becomes aware of suspected misconduct:

- Should not contact the person suspected to further investigate the matter or demand restitution.
- Should not discuss the case with attorneys, the media or anyone other than the President or Executive Director.
- Should not report the case to an authorized law enforcement officer without first discussing the case with the President or Executive Director.

Investigation

The Community Foundation Executive Director or President will review and analyze all relevant matters, including suspected but unproved matters, with documentation of the receipt, retention, investigation and treatment of the complaint. The Executive Director or President shall promptly (generally within five business days) acknowledge receipt of the complaint to the complainant if the identity of the complainant is known and the President will appoint a committee of at least three Directors to conduct an investigation to determine if the allegations are true and whether the issue is material and what, if any, corrective action is necessary. Upon the conclusion of this

investigation, the appointed committee shall promptly report its findings to the Executive Committee.

The Executive Committee may conduct a further investigation upon receiving the report from the Executive Director or President. Appropriate corrective action will be taken, if necessary, and findings will be communicated back to the reporting person and his or her supervisor.

Investigations may warrant investigation by an independent person such as auditors and/or attorneys.

Whistle-Blower Protection

The Community Foundation of the Dan River Region will protect whistle-blowers as defined below.

- The Foundation will use its best efforts to protect whistle-blowers against retaliation. Whistle-blowing complaints will be handled with sensitivity, discretion and confidentiality to the extent allowed by the circumstances and the law. Generally this means that whistle-blower complaints will only be shared with those who have a need to know so that The Foundation can conduct an effective investigation, determine what action to take based on the results of any such investigation, and in appropriate cases, with law enforcement personnel. (Should disciplinary or legal action be taken against a person or persons as a result of a whistle-blower complaint, such persons may also have the right to know the identity of the whistle-blower.)
- Employees, consultants and volunteers of The Foundation may not retaliate against a whistle-blower for informing management about an activity which that person believes to be fraudulent or dishonest with the intent or effect of adversely affecting the terms or conditions of the whistle-blower's employment, including but not limited to, threats of physical harm, loss of job, punitive work assignments, or impact on salary or fees. Whistle-blowers who believe that they have been retaliated against may file a written complaint with the President or Executive Director. Any complaint of retaliation will be promptly investigated and appropriate corrective measures taken if allegations of retaliation are substantiated. This protection from retaliation is not intended to prohibit supervisors from taking action, including disciplinary action, in the usual scope of their duties and based on valid performance-related factors.
- Whistle-blowers must be cautious to avoid baseless allegations (as described earlier in the definitions section of this policy).