

Whistleblower/Complaint Resolution Policy UW-Stevens Point Foundation, Inc. (the “Foundation”)

1. Purpose

- 1.1. In keeping with the policy of maintaining the highest standards of conduct and ethics, the Foundation will investigate complaints of suspected fraudulent or dishonest use or misuse of its resources or property by staff, board members, consultants, volunteers, or donors. To maintain the highest standards of service, the Foundation will also investigate complaints concerning its programs and services. This policy is not intended to supplant any similar policy governing University employees. University employees are encouraged to follow applicable State policies.

2. Reporting

- 2.1. Staff, board members, consultants, volunteers, and community members are encouraged to report suspected fraudulent or dishonest conduct or problems, pursuant to the procedures set forth below.
- 2.2. This policy supplements, and does not replace, any procedures required by law, regulation, or funding source requirements.
- 2.3. A person’s concerns about possible fraudulent or dishonest use or misuse of resources or property, or program operation, should be reported to the Executive Director, a member of the Executive Committee, or other member of the Foundation Board of Directors.
- 2.4. If, for any reason, a person finds it difficult to report his or her concerns to such person, s/he may report the concerns directly to the Foundation Corporate Counsel.
- 2.5. 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.

3. Investigation

- 3.1. All relevant matters will be promptly reviewed and analyzed, with documentation of the receipt, retention, investigation, and treatment of the complaint.
- 3.2. Appropriate corrective action will be taken, if necessary, and findings may be communicated to the reporting person and his or her supervisor, if appropriate.
- 3.3. Investigations may be conducted by independent persons such as auditors and/or attorneys.
- 3.4. Investigators will endeavor to maintain appropriate confidentiality, but confidentiality is not guaranteed.

4. No Retaliation

- 4.1. No director, officer, employee, volunteer, or donor who in good faith reports suspected fraudulent or dishonest use or misuse of its resources or property or complaints concerning the services it provides and programs the Foundation runs shall suffer harassment, retaliation, or adverse employment or other consequence.
- 4.2. 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.
- 4.3. This Whistleblower/Complaint Resolution Policy is intended to encourage and enable employees and others to raise serious concerns within the Foundation prior to seeking resolution outside the Foundation.
- 4.4. The Policy is in addition to any non-retaliation requirements required by law.

- 4.5. 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.
- 4.6. Individuals making complaints must be cautious to avoid baseless allegations.
- 4.7. Employees who intentionally make false allegations may be subject to disciplinary action.

This charter was recommended by the UW-Stevens Point Foundation Executive Committee and Approved by the UW-Stevens Point Board of Directors on November 15, 2019.

___/s/ Patrick Arendt _____

UWSPF Board President

___/s/ Debra Marten _____

UWSPF Board Secretary