NC AWWA-WEA
POLICIES AND PROCEDURES
WHISTLE BLOWER POLICY

Date: 2009
Approved By: Board of Trustees
Policy Title: Whistle Blower
Number:
Revisions: March 7, 2013

PURPOSE:

NC AWWA-WEA is committed to high standards of ethical, moral and legal business conduct. In line with this commitment and the Association’s commitment to open communication, this policy provides an avenue for employees to raise concerns. It also provides reassurance that employees and/or members will be protected from reprisals or victimization for whistle blowing.

This whistle blowing policy is intended to offer protections if an employee or member raises concerns regarding the Association to include the following:

- Incorrect financial reporting;
- Unlawful activity;
- Activities that are not in line with Association policies; or
- Any other activities that constitute serious improper conduct.

PROCEDURE

1. Harassment or victimization of any person for reporting concerns under this policy will not be tolerated.

2. Every effort will be made to treat the complainant’s identity with appropriate regard for confidentiality.

3. This policy encourages employees and members to put their names to allegations because appropriate follow-up questions and investigation may not be possible unless the source of the information is identified. Concerns expressed anonymously will be explored appropriately, but consideration will be given to:

   - The seriousness of the issue raised;
• The credibility of the concern; and
• The likelihood of confirming the allegation from attributable sources.

4. Although the employee or member is not expected to prove the truth of an allegation, the employee/member should be able to demonstrate to the person contacted that the report is being made in good faith. Allegations made in bad faith may result in disciplinary action.

5. The whistle blowing procedure is intended to be used for serious and sensitive issues. Such concerns, including those relating to financial reporting, unethical or illegal conduct may be reported to the Association Executive Director or Chair of the Board of Trustees.

6. Employment related concerns should continue to be reported to the Executive Director or the Chair of the Board of Trustees.

7. All concerns should be brought to the attention of the appropriate person as quickly as possible so that action may be taken immediately.

8. The action taken by the Association in response to a report of a concern under this policy will depend on the nature of the concern. The Executive Committee of the Association shall receive notification of each concern raised under this policy and all corresponding information with regard to actions taken.

9. Initial inquiries will be made by the Executive Director and/or the Executive Committee to determine whether an investigation is appropriate, and the form that it should take. Some concerns may be resolved without the need for further investigation.

10. The amount of contact between the complainant and the person(s) 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.