

DREW

Policy Title: Whistleblower Policy

Policy Applies to: Faculty and Staff

Effective Date: April 1, 2009

Introduction

Drew University is deeply committed to responsible stewardship of and accountability for all University resources and is keenly aware of its responsibility to comply with the laws and regulations to which it is subject. The University relies on faculty and staff members to observe high standards of business and personal ethics and to perform their duties and responsibilities in accordance with University policies and procedures and all applicable federal, State and local laws and regulations.

Whistleblower or similar anti-retaliation protections are found in many federal and State statutes. This policy encompasses requirements under the State of New Jersey and federal guidelines under Sarbanes-Oxley (18 U.S.C. 1514A).

Policy

In accordance with the New Jersey Conscientious Employee Protection Act of 1986 (CEPA: Whistleblower Act) and Sarbanes-Oxley Act (18 U.S.C. 1514A), Drew University prohibits any retaliatory action against a member of the faculty and staff who:

1. Discloses, or threatens to disclose, to a supervisor or to a public body an activity, policy or practice of the employer or another employer, with whom there is a business relationship, that the employee reasonably believes is in violation of a law, or a rule or regulation issued under the law, or in the case of an employee who is a licensed or certified health care professional, reasonably believes constitutes improper quality of patient care;
2. Provides information to, or testifies before, any public body conducting an investigation, hearing or inquiry into any violation of law, or a rule or regulation issued under the law by the employer of another employer, with whom there is a business relationship, that the employee reasonably believes is in violation of a law, or a rule or regulation issued under the law, or in the case of an employee who is a licensed or certified health care professional, reasonably believes constitutes improper quality of patient care; or
3. Objects to, or refuses to participate in, any activity, policy or practice which the employee reasonably believes:
 - Is in violation of a law, or a rule or regulation issued under the law, or in the case of an employee who is a licensed or certified health care professional, reasonably believes constitutes improper quality of patient care; or
 - Is fraudulent or criminal; or

- Is incompatible with a clear mandate of public policy concerning the public health, safety or welfare or protection of the environment. *N.J. S.A. 34:19-3*; or

4. Reports suspected waste, fraud or abuse.

Procedure

A member of the faculty or staff who has questions about the propriety of any practice under the law and/or University policies and procedures, or who becomes aware of a potential or actual violation, should make a report to ***Campus Conduct Hotline***, a third party ethics and compliance hotline provider. By calling **1-866-943-5787**, faculty and staff can anonymously and confidentially report concerns and follow-up on the status of a report by telephone. As is the case with a direct report, every effort will be made to perform investigations discreetly. The details of the investigation will be kept confidential, to the extent feasible and consistent with university policies and applicable federal, state, and local laws. For more information about ***Campus Conduct Hotline***, [click here](#).

In addition, faculty and staff can also contact the following offices confidentially to discuss concerns and/or report suspected violations:

Financial. Claims of financial misconduct or the inappropriate expenditure of funds should be sent in a sealed envelope addressed to the Chair, Audit Committee of the Board of Trustees, c/o Trustee Coordinator, Mead Hall.

University Officer. When the alleged improper activities involve the President or a Vice President, such reports should be sent in a sealed envelope to the Chair of the Board of Trustees, c/o Trustee Coordinator, Mead Hall.

Retaliation. A member of the faculty or staff who believes that he/she is being retaliated against for making such a report should immediately bring it to the attention of his/her supervisor or the Director of Human Resources.

Under the law, such disclosures must be made within one year of the student, faculty or staff member learning of the activity. Failure to report the activity may result in the loss of important legal rights.

Supervisors and department heads are required to report any concerns brought to them, and any situations in which they suspect improper activities, to the Director of Human Resources for investigation immediately. Supervisors and department heads should not conduct the investigation. Following the receipt of any complaints received under this policy, the investigating official will acknowledge receipt of the complaint to the sender (unless received anonymously) and will

investigate or direct an investigation to be taken on each matter reported. The investigating official will report their findings and recommend corrective or disciplinary action, if appropriate to the Director of Human Resources.

Responsibility

The Director of Human Resources is responsible for making this policy available to the University community and is available to answer questions related to the process associated with this policy.

A summary report of investigations will be maintained by the Director of Human Resources for the purpose of documenting the resolution of suspected and reported violations. On an annual basis, the Director of Human Resources will provide the Audit Committee of the Board of Trustees and the University's Risk Management Committee with a summary of all reports under this policy.