



UNIVERSITY POLICY

HUMAN RESOURCES POLICIES

Number: 302

Subject: Whistleblower Policy

Covered Individuals: UIU Employees, Students and Visitors

Covered Campus Locations: All Locations

Effective Date: October 1, 2014

Last Revision: August 31, 2018

POLICY STATEMENT

Upper Iowa University (University or UIU) is committed to the highest ethical standards of conduct. To help maintain those standards, the University seeks the help of the University community to raise concerns and report, in good faith, any activity that an individual reasonably considers to be unethical, illegal, fraudulent, or in direct violation of University policy. Individuals should report such conduct, regardless of whether or not he/she is personally involved in the matter.

The whistleblower is not responsible for investigating the activity or for determining fault or corrective measures. Appropriate officials are charged with the responsibility of investigating all reported violations.

DEFINITIONS

Wrongful conduct is:

- A violation of applicable state, federal, or local laws and regulations,
- A serious violation of University policy or written procedure, or
- The use of University property, resources, or authority for personal gain or other non-University-related purpose except as provided under University policy.

Good faith report is:

- An allegation of wrongful conduct made by an individual who believes that wrongful conduct may have occurred. However, an allegation is not in good faith if it is made with reckless disregard for, or willful ignorance of, facts that would disprove the allegation.

POLICY

Any person who has a good faith belief that there has been a violation of law, breach of policy, or allegation of improper conduct pertaining to the University, may file a report by contacting the Vice President for Human Resources at 563-425-5959. If an individual wishes to make a report against a University executive leader, they may contact the Chair of the Human Capital Committee of Upper Iowa University by sending an email to report@uiu.edu. The confidentiality of the reporting individual will be maintained as much as possible; however, the identity of the individual may need to be disclosed in the course of the investigation or to comply with the law.

Another initial reporting option is Lighthouse reporting, which may be anonymous. Lighthouse may be reached on their website, which is www.lighthouse-services.com/uiu, by phone at (833) 350-0022, or by email at reports@lighthouse-services.com (UIU must be identified in the email). This report may be filed on an anonymous basis, but because investigators are unable to interview anonymous whistleblowers, it may be more difficult to evaluate the credibility of the allegations and, therefore, less likely to permit an investigation to be initiated, continued or successfully completed.

Retaliation

No individual who, in good faith, reports unethical or fraudulent behavior and/or a violation of law or University policy shall suffer harassment, retaliation or adverse employment, and/or academic or educational consequences on the basis of that good faith report.

This commitment to preventing retaliation does not preclude the University from addressing performance or behavioral issues with employees as appropriate, even if that individual has participated in a whistleblower protected activity.

Individuals who knowingly give false or misleading information or make a false report of violation, are not entitled to the protections of this policy, and shall be subject to appropriate disciplinary action.

CONTACTS

Acting as the policy owner, the Office of Human Resources is responsible for answering questions regarding the application of this policy.

SANCTIONS

N/A

HISTORY

- October 1, 2014
 - Procedure was approved
- October 2, 2017

- Procedure and Policy were combined and recommended by University Policy Committee (UPC)
- October 11, 2017
 - Policy was approved by President's Council
- October 26, 2017
 - Policy was approved by Board of Trustees
- September 11, 2018
 - Revisions to policy recommended by UPC
- September 12, 2018
 - Revisions Approved by President's Council