

## **ASERL Whistle Blower Policy**

**Approved October 2014**



The Association of Southeastern Research Libraries (ASERL) is committed to operating in furtherance of its tax-exempt purposes and in compliance with all applicable laws, rules and regulations, including those concerning accounting and auditing, and prohibits fraudulent practices by any of its board members, officers, employees, or volunteers. The following outlines a procedure for employees to report actions that an employee reasonably believes violates a law or regulation or constitutes fraudulent accounting or other practices. This policy applies to any matter which is related to ASERL's business.

### **PROCESS**

If any employee has a reasonable belief that another ASERL employee has engaged in any action that violates any applicable law or regulation, including those concerning accounting and auditing, or constitutes a fraudulent practice, the employee is expected to immediately report such information to the Executive Director. If the employee does not feel comfortable reporting the information to the Executive Director, he or she is expected to report the information to the President of the ASERL Board of Directors.

All reports will be taken seriously and an investigation promptly conducted. In conducting its investigations, ASERL will strive to keep the identity of the reporting individual as confidential as possible, while conducting an adequate review and investigation.

ASERL will not retaliate against an employee in the terms and conditions of employment because that employee: (a) reports to a supervisor, the Executive Director, to the Board of Directors, or to a federal, state or local agency which the employee believes in good faith to be a violation of the law; or (b) participates in good faith in any resulting investigation or proceeding, or (c) exercises his or her rights under any state or federal laws or regulations to pursue a claim or take legal action to protect the employee's rights.

In addition, ASERL will not take any action with the intent to retaliate against any employee who has provided to law enforcement personnel or to a court truthful information relating to the commission or possible commission of a violation of any applicable law or regulation by ASERL or any of its employees.

ASERL may take disciplinary action (up to and including termination) against an employee who in ASERL's assessment has engaged in retaliatory conduct in violation of this policy.

Supervisors will be trained on this policy and ASERL's prohibition against retaliation in accordance with this policy.