

Rancho Santiago Community College District
ADMINISTRATIVE REGULATION
Chapter 7
Human Resources

AR 7700 Whistleblower Protection

Reference(s):

Education Code Section 87160-87164
Government Code Section 53296
Labor Code section 1102.5
Private Attorney General Act of 2004 (Labor Code section 2698)
29 U.S. Code Section 218C (Affordable Care Act)

Individuals are encouraged to report suspected incidents of unlawful activities by district employees in the performance of their duties. Reports will be investigated promptly and appropriate remedies applied. Employees who, in good faith, reported such activities and/or assist the district in the investigation will be protected from retaliation.

This procedure sets out the processes for responding to and investigating reports of unlawful activities, as defined in BP 7700, and addressing complaints of retaliation for making such reports.

Reporting Suspicions of Fraud or Waste of District Resources

The District retains the services of an independent third party provider that allows any person to anonymously report suspicions of fraud or waste of District resources. The District encourages employees to report by:

Calling the District's independent third party fraud hotline (877-235-3224)
OR
Completing an online webform
(<https://www.mycompliancereport.com/report?cid=RSCCD>; Company Code RSCCD).

All reports submitted through the fraud hotline and webform are monitored by the following individuals at the District:

- Director of Accounting, Audit & Advisory Services
- Audit Specialist
- Vice Chancellor of Business Services
- Assistant Vice Chancellor of Fiscal Services
- Vice Chancellor of Human Resources
- Assistant Vice Chancellor of Human Resources

If one of the individuals listed above are mentioned in a report, they will not receive that report.

All reports are evaluated and may result in an inquiry or investigation. An appropriate investigator is assigned based on the nature of the report. During an inquiry or investigation, the parties most directly connected may be notified of the matter and asked to assist with the inquiry or investigation. This may include the immediate supervisor of the parties involved and any individuals who can provide any relevant information concerning the matter under evaluation.

Reporting Other Suspicions of Unlawful Activities

Any person may report allegations of suspected unlawful activities. Knowledge or suspicion of such unlawful activities may originate from academic personnel, staff or administrators carrying out their assigned duties, internal or external auditors, law enforcement, regulatory agencies, customers, vendors, students or other third parties.

Anonymous reports will be investigated to the extent possible. Persons who wish to report suspected unlawful activities anonymously may do so through the WeTip organization at 800-782-7463 (1-800-78-CRIME). However, employees are strongly encouraged not to report anonymously because doing so may impede the District's ability to thoroughly investigate the claim and take appropriate remedial measures. As set forth fully below, retaliation against individuals who report suspected unlawful activities will not be tolerated.

Normally, a report by a district employee of allegations of a suspected unlawful activity should be made to the reporting employee's immediate manager or other appropriate manager within the operating unit. However, if the report involves or implicates the direct manager or others in the operating unit, the report may be made to any another district official whom the reporting employee believes to have either responsibility over the affected area or the authority to review the alleged unlawful activity on behalf of the District. If the alleged unlawful activity involves the Chancellor, the report should be made to the president of the board of trustees. When the alleged unlawful activity involves the board of trustees or one of its members, the report should be made to the Chancellor who will confer with the president of the board of trustees and/or legal counsel on how to proceed.

Allegations of suspected unlawful activities should be made in writing so as to assure a clear understanding of the issues raised, but may be made orally. Such reports should be factual and contain as much specific information as possible. The receiving manager should elicit as much information as possible. If the report is made orally, the receiving manager shall reduce it to writing and make every attempt to get the reporter to confirm by his or her signature that it is accurate and complete.

Once the manager has received and/or prepared a written report of the alleged unlawful activity, he/she must immediately forward the report to the appropriate President or Vice Chancellor. However, if this process would require submitting the report to an employee implicated in the report, the receiving manager should follow the reporting options outlined, above. The manager or trustee who ultimately receives the written report pursuant to this paragraph is responsible for ensuring that a prompt and complete investigation is made by an individual with the competence and objectivity to conduct the investigation, and that the assistance of counsel and/or an outside investigator is secured if deemed necessary.

In the course of investigating allegations of unlawful conduct, all individuals who are contacted and/or interviewed shall be advised of the District's no-retaliation policy. Each individual shall be: a) warned that retaliation against the reporter(s) and/or others participating in the

investigation will subject the employee to discipline up to and including termination; and b) advised that if he or she experiences retaliation for cooperating in the investigation, then it must be reported immediately.

In the event that an investigation into alleged unlawful activity determines that the allegations are accurate, prompt and appropriate corrective action shall be taken.

Protection from Retaliation

When a person makes a good-faith report of suspected unlawful activities to an appropriate authority, the report is known as a protected disclosure. District employees and applicants for employment who make a protected disclosure are protected from retaliation.

Any employee who believes he or she has been (1) subjected to or affected by retaliatory conduct for reporting suspected unlawful activity, or (2) for refusing to engage in activity that would result in a violation of law, should report such conduct to the appropriate manager (if the manager is not the source of or otherwise involved in the retaliatory conduct). Any manager who receives such a report, or who otherwise is aware of retaliatory conduct, is required to advise Chancellor. If the allegations of retaliation, or the underlying allegations of unlawful conduct involve the Chancellor, the manager shall report to the highest level administrator and/or trustee who is not implicated in the reports of unlawful activity and retaliation.

All allegations of retaliation shall be investigated promptly and with discretion, and all information obtained will be handled on a "need to know" basis. At the conclusion of an investigation, as appropriate, remedial and/or disciplinary action will be taken where the allegations are verified and/or otherwise substantiated.

Requirement to Post Whistleblower Hotline

The District shall prominently display in lettering larger than size 14 point type a list of employees' rights and responsibilities under the whistleblower laws referenced in this procedure. The list shall include the telephone number of the WeTip hotline, 800-782-7463 (1-800-78-CRIME), for employees who have information regarding possible violations of state or federal statutes, rules, or regulations.

Other Remedies and Appropriate Agencies

In addition to the internal complaint process set forth above, any employee who has information concerning allegedly unlawful conduct may contact the appropriate government agency.

Adopted: April 27, 2009
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