

<b>Policy Name:</b>	Manhattan College Whistleblower Policy		
<b>Responsible Vice President:</b>	Vice President for Human Resources	<b>Adopted:</b>	2006
<b>Responsible Office or Department:</b>	Human Resources	<b>Reviewed:</b>	05/01/2021
<b>Contact:</b>	humanresources@manhattan.edu	<b>Revised:</b>	07/14/2021

### 1. Policy Statement

Manhattan College is committed to the highest possible standards of ethical, moral and legal conduct. In conjunction with this commitment and Manhattan College's commitment to open communication, this policy aims to provide an avenue for employees to raise concerns and reassurance that they will be protected from reprisals or victimization for whistleblowing in good faith. However, if an employee feels that their anonymity is not required then they should follow the existing grievance procedure located in the Manhattan College Handbook.

Manhattan College was founded on the principles and teachings of John Baptist de La Salle. Manhattan College has a strong Catholic identity, a respect for diversity, and is a person-centered educational experience characterized by high academic standards. Manhattan College complies with all local, state and federal regulations and strives to create an environment in which the members of the College community can raise reasonable concerns and grievances about improper activities as well as serious violations of college policies and procedures without fear of threat or retaliation. Manhattan College maintains its own internal controls and operating procedures designed to prevent or deter violations or improper acts. However, the College relies on the members of its community – faculty, staff and administrators – to maintain this important commitment to integrity.

The College recognizes that intentional and unintentional violations of policies, procedures, regulations and laws may occur and may constitute improper activities. The College acknowledges its responsibility to create an environment where these improper activities will be reported, investigated and, when found credible, will take the appropriate remedial steps to correct the improper actions and deter future violations.

### 2. Who Should Read the Policy

This policy applies to all Manhattan College employees, including part time, temporary and contract employees.

### 3. Links and Resources

- a. Manhattan College has partnered with Lighthouse Services as a hotline to accept anonymous Whistleblower reports or other reports of unethical behavior (<http://www.lighthouse-services.com/manhattan>).

### 4. Terms and Definitions

- a. "Whistleblowing" for the purpose of this policy means revealing or reporting classified or private information anonymously about an organization, company, department, or person that is usually related to wrongdoing.

### 5. The Policy

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As policies may be amended periodically, please refer to the Manhattan College Policy Library website [[manhattan.edu/policies](http://manhattan.edu/policies)] for the most recent version of this policy.

- I. Introduction
  - a. This whistleblowing policy is intended to cover serious concerns that (this list is non-exhaustive):
    - i. May lead to incorrect financial reporting
    - ii. Are unlawful (whether civil or criminal)
    - iii. Are not in line with the mission, including the Code of Conduct of Manhattan College
    - iv. Are instances of fraud
    - v. Constitute unethical business conduct
    - vi. Are violations of State or Federal Law
    - vii. Constitute OSHA (Occupational Safety and Hazard Act) concerns or specific danger to an individual or a group of individuals
    - viii. Constitute unfair treatment, sexual harassment, or discrimination under a protected category in employment or provision of services of themselves or other College community members
    - ix. Are breaches of Conflict of Interest Policy
    - x. Are abuses of power or authority for any unauthorized or ulterior purpose
    - xi. Are retaliations for good faith reporting of a suspected violation and/or improper activities
    - xii. Otherwise amount to serious improper conduct
  - b. Regular college matters that do not require anonymity should be directed to the employee's supervisor or other members of Manhattan College administration and are not addressed by this policy
- II. Procedure
  - a. General
    - i. The whistleblowing procedure is intended to be used for serious and sensitive issues. Serious concerns relating to financial reporting, unethical or illegal conduct, should be reported.
    - ii. Reporters to the hotline will have the ability to remain anonymous if they choose. Please note that the information provided by you may be the basis of an internal and/or external investigation into the issue you are reporting and your anonymity will be protected to the extent possible by law. However, your identity may become known during the course of the investigation because of the information you have provided. Reports are submitted by Lighthouse to Human Resources or the appropriate designee, and may or may not be investigated at the sole discretion of the college.
    - iii. Employment-related concerns should continue to be reported through normal channels, such as the employee's Supervisor, Department Head, Chief Title IX Coordinator, AVP for Human Resources or to the Vice President for Human Resources.
  - b. Reporting Improper Activities at the College
    - i. It is everyone's responsibility to safeguard the College's high standards and report actual or suspected violations. No member of the community who in good faith reports a violation or suspected violation will suffer any detriment, harassment, retaliation or adverse consequences.
    - ii. For individuals who want to report without identifying themselves, the report can be made anonymously in writing. Another alternative would be an anonymous oral report to a dedicated College extension.
    - iii. Anonymous reports can limit the College's ability to conduct a thorough review where there is insufficient information provided when the report is made. It is also impossible for the College to inform an anonymous reporter of the outcome of the review. However, every effort will be made to handle anonymous reports in the same manner as signed reports.

- iv. The College will make an effort to maintain records of the reports, to share information about the effort to promote compliance and ethical conduct with the appropriate College leaders, and to document how it resolves reports of suspected or actual violations.
    - v. In addition to taking appropriate action by notifying Manhattan College authorities (Public Safety Department, immediate supervisor) a faculty member, administrator or staff member who witnesses a crime against an employee or student or what appears to be a criminal or dangerous conduct, should promptly notify the police.
  - c. Timing
    - i. The earlier a concern is expressed, the easier it is for the college to investigate
  - d. Evidence
    - i. Although you are not expected to prove the truth of an allegation, the employee submitting a report needs to demonstrate in their hotline report that there are sufficient grounds for concern.
  - e. Handling of Reports
    - i. The action taken will depend on the nature of the concern. The Audit Committee of the Board of Trustees may receive a copy of each report and follow-up reports on actions taken by the College.
  - f. Initial Inquiries
    - i. Initial inquiries will be made to determine whether an investigation is appropriate, and the form that it should take. Some concerns may be resolved by agreed upon action without the need for an investigation.
  - g. Feedback to Reporter
    - i. Whether reported directly to Manhattan College Human Resources or through the hotline, the individual submitting a report will be given the opportunity to receive follow-up on their concern:
      1. Acknowledging that the concern was received;
      2. Indicating how the matter will be dealt with;
      3. Giving an estimate of the time that it will take for a final response;
      4. Telling them whether initial inquiries have been made;
      5. Telling them whether further investigations will follow, and if not, why not.
  - h. Further Information
    - i. The amount of contact between the individual submitting a report and the department such as Human Resources investigating the concern will depend on the nature of the issue, the clarity of information provided, and whether the employee remains accessible for follow-up. Further information may be sought from the reporter.
  - i. Outcome of an Investigation
    - i. At the discretion of the College and subject to legal and other constraints the reporter may be entitled to receive information about the outcome of an investigation.
- III. Safeguards
  - a. Harassment or Victimization
    - i. Harassment or victimization of individuals submitting hotline reports will not be tolerated
  - b. Confidentiality
    - i. Every effort will be made to protect the reporter's identity by our hotline vendor. Please note that the information provided in a hotline report may be the basis of an internal and/or external investigation by Manhattan College into the issue being reported. It is possible that as a result of the information provided in a report the reporter's identity may become known to us during the course of our investigation.
  - c. Anonymous Allegations

- i. The policy allows employees to remain anonymous at their option. Concerns expressed anonymously will be investigated, but consideration will be given to:
        - 1. The seriousness of the issue raised;
        - 2. The credibility of the concern; and
        - 3. The likelihood of confirming the allegation from attributable sources.
    - d. Malicious Allegations
      - i. Malicious allegations may result in disciplinary action and/or termination of employment
- IV. Contacts
  - a. Website: <http://www.lighthouse-services.com/manhattan>
  - b. Phone:
    - i. English speaking USA and Canada: (855) 544-8444 (not available from Mexico)
    - ii. Spanish speaking North America: (800) 2161288 (from Mexico user must dial 001-800-6815340)
  - c. E-mail: [reports@lighthouse-services.com](mailto:reports@lighthouse-services.com) (must include company name (Manhattan College) with report)
  - d. Fax alternative for written documents: 215-689-3885 (must include company name (Manhattan College) with report)