



University of New Haven

Human Resources Policy / Procedure

Policy / Procedure Title	Applicability / Scope	Purpose	Effective Date	Responsible Party	Pages
Whistleblower / Reporting & Investigating Allegations of Wrongful Conduct Policy & Procedure	All Employees	Policy is intended to encourage the disclosure of wrongful conduct ("Disclosure") to the appropriate official at the University so that prompt and appropriate corrective action can be taken.	12/15/21	Associate VP Human Resources & Organizational Development	3

Individuals may not use or attempt to use their authority or influence related to their position at the University of New Haven (the "University") to interfere with another Individual's right to make a Disclosure in accordance with this Policy.

The University encourages all members of the board of governors, and the officers, staff, employees and volunteers, when acting in good faith, to report wrongful conduct (as defined next below). The University is committed to protecting Individuals from interference with making a Disclosure under this Policy; and thus, no Individual making a Disclosure in good faith and on a reasonable belief that wrongful conduct has occurred shall suffer retaliation.

Definitions:

Wrongful Conduct:

(a) Wrongful conduct is improper action or inaction relating to the University which is undertaken by an individual or individuals, either internal or external to the University, or by one or more organizations or other entities external to the University.

(b) Wrongful conduct includes, but is not limited to: (i) serious violations of the University policies; (ii) violations of Federal, state or local law; (iii) improper use of University property or authority for personal gain; and (iv) false or misleading representations of material facts, whether by words or conduct (including concealment of that which should have been disclosed and which deceives).

This document is a summary of a University policy, procedure and/or guideline. All policies, procedures and/or guidelines described herein may be modified or discontinued at any time, for any reason at the University's full and sole discretion. No policy, procedure and/or guideline should be construed as a contract or term or condition of employment between an employee and the University. This policy / procedure is not intended to alter or modify any of the terms of any collective bargaining agreement or the Faculty Handbook.

Individuals:

- The University's Board of Governors members, and the officers, staff, employees and volunteers.

The Disclosure Submission Offices ("DSOs")

- If an individual decides to submit their Disclosure to an office instead of submitting the Disclosure to their supervisor, these offices (the Disclosure Submission Offices, or the "DSOs") are listed in the chart below.

Administrator of this Policy:

- The Administrator of this Policy is the University's Vice President for Human Resources and Title IX Coordinator.

Disclosures which turn out to be False Allegations:

(a) Disclosures that are made pursuant to this Policy which are not eventually substantiated, yet which have been made in good faith and which are based on a reasonable belief that wrongful conduct has occurred, shall not subject the disclosing Individual to disciplinary action.

(b) However, any Individual who knowingly, or with a reckless disregard for the truth, gives false information – or makes a false report of wrongful conduct or retaliation – in connection with a Disclosure shall be subject to appropriate disciplinary action. Retaliation Prohibited Any Individual who retaliates against another Individual as a result of a Disclosure shall be subject to appropriate disciplinary action.

Confidentiality:

- Disclosures shall be submitted on a confidential basis by an Individual or, in the alternative, shall be submitted anonymously. Disclosures will be kept confidential to the extent possible, consistent with the need to investigate and applicable law.

Submitting a Disclosure:

(a) Individuals should report their Disclosure to an Individual who can address it properly. In many cases, the Individual's supervisor is in the best position to address an area of concern.

(b) However, if an Individual is uncomfortable with making such a submission to his or her supervisor or is not satisfied with the response received from that supervisor, then, the Individual should submit his/her concerns to the appropriate Disclosure Submission Office (a "DSO") that is listed in below, which will then investigate and/or address the Disclosure as appropriate.

Investigation of a Disclosure; Duty to Cooperate:

- If an Individual submits his/her Disclosure to a DSO (a Disclosure Submission Office), then:
 - (a) A DSO which receives a Disclosure shall notify the disclosing Individual (if not anonymous), and acknowledge receipt of the Disclosure, within fifteen (15) business days (or sooner if appropriate – e.g., a criminal issue).

- (b) All Disclosures submitted in writing will then be investigated by the subject DSO within approximately sixty (60) days. More specifically, the DSO shall investigate the merits of each Disclosure, and may request information from the University's staff and employees, as the DSO may deem necessary or appropriate. In addition, the DSO may confidentially consult in its discretion with the University's counsel or other appropriate persons in connection with investigating a Disclosure.
- (c) In order to enable the DSO to properly investigate a Disclosure, the Individual (regardless of whether or not the Disclosure has been submitted by him/her anonymously) shall fully and timely cooperate with the DSO in providing any further information which the DSO may request. In the event that the Individual were to fail or refuse to cooperate with any requests for additional information by the DSO, then, in the DSO's sole discretion, the DSO's files can be closed with a notation to the effect that no action has been taken as a result of the Individual's failure or refusal to fully and timely cooperate in the DSO's investigation.
- (d) Upon completion of the DSO's investigation, the DSO shall give a confidential report to the Policy's Administrator regarding: (i) the Disclosure; (ii) the results of the investigation; and (iii) any appropriate corrective action that has or will be taken if warranted by the results of the investigation.

The Disclosure Submission Offices (DSOs) are following:

Group	Contact	Phone Number
Academic Misconduct (Faculty related)	Academic Affairs	203-932-7253
Academic Misconduct (Student related)	Dean of Students	203-932-7176
Criminal Matters	University Police	203-932-7014
Employment Matters	Associate VP Human Resources & Organizational Development	203-932-7040
Financial Matters	General Counsel	203-498-4329
Legal Matters	General Counsel	203-498-4329
Medical or Health matters	Student Health Center	203-932-7079
All other student matters	Dean of Students	203-932-7176
All other matters	General Counsel	203-498-4329

NOTE: This Policy/Procedure was amended and restated in its entirety on June 29, 2015 and reissued on July 1, 2020 and December 15, 2021.