

Regional Water Authority
Personnel Rules – Policy 400.1, Appendix J

Policy Type: Employment
Policy Title: Whistleblower Policy
Policy Number: 400.1 Appendix J
Date Adopted: November 9, 2023

PURPOSE

It is critical that the Authority foster and maintain a workplace with a high ethical standard of conduct in all activities and conduct its business in a fair, effective, efficient, and transparent manner. Further, the Authority must protect its assets and resources from fraudulent, illegal, and dishonest activities by protecting its assets and resources, by maintaining effective internal controls and by identifying and investigating any possibility of fraud or other improper activities. To this end, this Whistleblower Policy (“Policy”) establishes procedures for Authority employees to report alleged illegal, fraudulent, and/or improper activity by Authority employees and to assure that such reports do not result in retaliation by the Authority.

POLICY

Authority employees are encouraged to report good faith suspicions of misconduct by Authority employees and any misuse of Authority property or resources. Any Authority employee who makes such a good faith report is protected against adverse employment actions by the Authority for raising such allegations and shall not suffer any reprisals or retaliation by the Authority for making the report, whether or not the allegations are sustained. The whistleblower must exercise sound judgment to avoid baseless allegations. The intentional filing of a false report is itself considered an improper governmental activity which the Authority has the right to act upon.

PROHIBITED ACTIVITIES

Any person should report information related to one of the following prohibited activities which includes, but is not limited to:

- A. Violation of any law, regulation, ordinance.
- B. Conflict of interest.
- C. Fraud, waste, or misuse of Authority property, resources, or time.
- D. Abuse of authority.
- E. Creation of a specific and substantial danger to public health or safety by failing to perform duties required by the Authority position held.
- F. Theft, misuse of, or misappropriation of Authority resources, property, information, assets or funds, or an attempt to do any of the same.
- G. Intentional falsification of records (including failure to disclose material facts or making of false or misleading entries or statements with the intent to deceive on any Authority document or other official document, report, or form, including but not limited to, Authority financial records and environmental regulatory reporting),

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or the willful and unauthorized destruction and/or mutilation of any Authority document or other official document, report, or form, including Authority financial records.

- H. Intentionally submitting false claims for payment or reimbursement.
- I. Knowingly submitting and/or signing a timesheet that contains false information.
- J. Forgery or intentional unauthorized alteration of an Authority document or other official document, application, report, or form, including but not limited to, Authority financial documents.
- K. Improprieties in the handling or reporting of financial transactions for the Authority.
- L. Authorizing or receiving payment by the Authority for goods not received or services not performed.
- M. Computer-related activity involving unauthorized alteration, destruction of data, forgery, or manipulation of data or misappropriation of Authority-owned software.

PROCEDURES

A. When to report

A complaint filed under this Policy should be filed within 45 days of the date of the act or event which is subject of the complaint.

B. Whom to report to

If an Authority employee is making the report, all reports should first be made to the Executive Director who will follow up on the matter. If the complaint involves the alleged misconduct of the Executive Director, then the report should be made to the Chair or Vice Chair of the Authority. Although every effort will be made to protect the anonymity of the whistleblower, there may be situations where anonymity cannot be guaranteed.