



# WHISTLEBLOWER

<b>Document Number:</b>	BP-08	<b>Version:</b>	1.1
<b>Effective Date:</b>	December 14, 2022	<b>Last Revision Date:</b>	December 5, 2023
<b>Policy Owner:</b>	Amy Brown Coffin	<b>Approved By:</b>	UIPA Board



## PO-08 WHISTLEBLOWER

### Table of Contents

Revision Table .....	3
I. Purpose Statement .....	4
II. Regulatory / Legislative Requirements .....	4
III. Scope .....	4
IV. References .....	4
V. Definitions .....	4
VI. Roles & Responsibilities .....	4
VII. Policy.....	5
VIII. Whistleblower Hotline .....	5
IX. Retaliation.....	5
X. Acting in Good Faith.....	6
XI. Confidentiality.....	6
XII. Handling of Reported Violations .....	6

<b>Document Number:</b>	BP-08	<b>Version:</b>	1.1
<b>Effective Date:</b>	December 14, 2022	<b>Last Revision Date:</b>	December 5, 2023
<b>Policy Owner:</b>	Amy Brown Coffin	<b>Approved By:</b>	UIPA Board



## PO-08 WHISTLEBLOWER

### Revision Table

Version	Effective Date	Revision Author	Summary of Revisions
1.1	December 5, 2023	Amy Brown Coffin	Updated to new template and role titles

<b>Document Number:</b>	BP-08	<b>Version:</b>	1.1
<b>Effective Date:</b>	December 14, 2022	<b>Last Revision Date:</b>	December 5, 2023
<b>Policy Owner:</b>	Amy Brown Coffin	<b>Approved By:</b>	UIPA Board



## PO-08 WHISTLEBLOWER

### I. Purpose Statement

Whistleblower policies are critical tools for protecting individuals who report activities believed to be illegal, dishonest, unethical, or otherwise improper.

### II. Regulatory / Legislative Requirements

- UCA 52-4 Open and Public Meetings Act
- UCA 67-21 Utah Protection of Public Employees Act

### III. Scope

This policy is intended to encourage board members, staff members, and others to report suspected or actual occurrence(s) of illegal, unethical, or inappropriate events (behaviors or practices) without retribution.

### IV. References

None

### V. Definitions

Term	Definition
Staff Member	Anyone who receives salary/wage or payment from the organization, including full or part-time staff, interns, consultants, and contractors.

### VI. Roles & Responsibilities

Role	Responsibility
------	----------------

<b>Document Number:</b>	BP-08	<b>Version:</b>	1.1
<b>Effective Date:</b>	December 14, 2022	<b>Last Revision Date:</b>	December 5, 2023
<b>Policy Owner:</b>	Amy Brown Coffin	<b>Approved By:</b>	UIPA Board



## PO-08 WHISTLEBLOWER

Board Member	Respond to and appropriately investigate complaints from staff members
Chief Risk & Compliance Officer	Respond to and appropriately investigate complaints from staff members and board
Supervisor	Respond to and appropriately investigate complaints from direct reports

### VII. Policy

UIPA has an open-door policy and suggests that staff members share their questions, concerns, suggestions, or complaints with their supervisor. If you are not comfortable speaking with your supervisor or you are not satisfied with your supervisor's response, you are encouraged to speak with the Chief Risk & Compliance Officer. Supervisors and managers are required to report complaints or concerns about suspected ethical and legal violations to the Chief Risk & Compliance Officer, who has the responsibility to investigate all reported complaints. Staff members with concerns or complaints may also submit their concerns to their supervisor, Chief Risk & Compliance Officer, or board member.

### VIII. Whistleblower Hotline

Anonymous whistleblower reports may be made by contacting the Utah State Auditor's Office hotline. Reporting can be done anonymously, or the individual may request that their identity remain anonymous.

### IX. Retaliation

It is contrary to the values of the UIPA for anyone to retaliate against any board member or staff member, who in good faith reports an unethical conduct, abuse of authority, gross mismanagement, suspected violation of law, such as a complaint of discrimination, suspected fraud, misuse of funds, or suspected violation of any regulation governing the

<b>Document Number:</b>	BP-08	<b>Version:</b>	1.1
<b>Effective Date:</b>	December 14, 2022	<b>Last Revision Date:</b>	December 5, 2023
<b>Policy Owner:</b>	Amy Brown Coffin	<b>Approved By:</b>	UIPA Board



## PO-08 WHISTLEBLOWER

operations of UIPA. A staff member who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment.

### X. Acting in Good Faith

Anyone filing a complaint concerning a violation or suspected violation must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

### XI. Confidentiality

Violations or suspected violations may be submitted on a confidential basis by the complainant. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

### XII. Handling of Reported Violations

The UIPA's Chief Risk & Compliance Officer will notify the person who submitted a complaint and acknowledge receipt of the reported violation or suspected violation. All reports will be promptly investigated, and appropriate action will be taken if warranted by the investigation.

For reported violations made directly to a board member, the board member will notify the person who submitted a complaint and acknowledge receipt of the reported violation or suspected violation. The board may convene a closed session meeting as per UCA 52-4-205 to investigate the complaint. The board or board member engage the Chief Risk & Compliance Officer and/or Finance & Audit committee to conduct further investigation.

For whistleblower hotline complaints, the State Auditor's Office will handle the response and follow up directly with the complainant, if the complaint is not made anonymously.

<b>Document Number:</b>	BP-08	<b>Version:</b>	1.1
<b>Effective Date:</b>	December 14, 2022	<b>Last Revision Date:</b>	December 5, 2023
<b>Policy Owner:</b>	Amy Brown Coffin	<b>Approved By:</b>	UIPA Board