

Yavapai Big Brothers Big Sisters Whistleblower Policy

Revised by Executive Committee August 19, 2013

Approved by BOD January 22, 2013

Code of Ethics

Yavapai Big Brothers Big Sisters' (YBBBS) mission is to enhance the lives of children through quality, sustainable mentoring relationships. These relationships are maintained and monitored by a professional staff. YBBBS' board and staff are committed to the highest ethical standards in our practices and behaviors, as we strive to fulfill our vision of serving all Yavapai County and Sedona children who could benefit from having a mentor in their lives. As stewards of YBBBS, we are held accountable to the public trust for ethical use of every dollar donated and for the trust of every volunteer. Both are critical to the sustainability of our mission and to maintaining our national leadership in youth mentoring.

In the pursuit of excellence, we must abide by the highest standards of performance and act in an ethical manner reflecting our values. Big Brothers Big Sisters' core values of *integrity, transparency, accountability, respect and responsibility* are the hallmarks of our organization. These values are the basis of our Code of Conduct and commitment to act above reproach in all that we do on behalf of YBBBS.

YBBBS Code of Conduct

All board and staff will act in the best interest of YBBBS; place the organization above other interests, financial or otherwise; and disclose any actual or perceived conflict of interest. All board and staff will be responsible stewards of YBBBS, our mission, vision, core values, reputation and resources by:

- Complying with all applicable governmental laws, rules and regulations;
- Abiding by the by-laws and policies of YBBBS;
- Acting in good faith, proactively promoting ethical behavior, fairness, and equity;
- Being open, honest and accountable to colleagues, volunteers, donors and all others involved with YBBBS;
- Upholding the highest ethical and moral standards and legal compliance regarding governance and financial management practices and procedures;
- Exercising responsible and prudent management of YBBBS' funds and assets;
- Protecting and ensuring the responsible, proper and wise use of YBBBS' resources;
- Treating all board members, employees and volunteers with respect, equity and fairness regardless of race, color, religion, gender, national origin, sexual orientation, marital status, age, disability or veteran status;

- Respecting the confidentiality of YBBBS' personnel, financial and proprietary information.
- Promptly reporting of code violations to the appropriate person(s);
- Being personally accountable for adherence to this Code of Conduct

*WHISTLEBLOWER POLICY, continued***Reporting Responsibility**

It is the responsibility of all board members and employees of YBBBS to comply with our Code of Ethics and to report any suspected violations in accordance with this Whistleblower Policy.

Violations include, but are not limited to deliberate violation of a law; theft; discrimination or harassment; falsification of contracts, reports, or records; conflict of interest; unauthorized disclosure of confidential information; use of donor funds not as donors directed; and intentional misuse and/or misstatement of business and financial information or transactions.

No Retaliation

No board member or employee who in good faith reports a suspected violation of YBBBS' Code of Ethics shall suffer harassment, retaliation or adverse employment consequences. An employee who retaliates against someone who has reported a suspected violation in good faith is subject to discipline up to and including termination of employment, and any other penalties as determined by law. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within YBBBS prior to seeking resolution outside the agency.

Reporting Violations

YBBBS has developed policies and procedures for board members and staff to report suspected violations of our Code of Ethics, including confidential, anonymous reporting to a third-party.

YBBBS has an open door policy. Employees are encouraged to share their questions, concerns, suggestions or complaints with a staff member who can address them properly. In most cases an employee's supervisor, COO or CEO is in the best position to address an area of concern.

However, if the employee is uncomfortable or unable to speak with any of the above persons (e.g., they may be linked to, or be the suspected perpetrator), the employee's concerns should be brought to the following third-party.

(NOTE: Reporting, investigation and resolution of suspected inappropriate financial dealings, including but not limited to accounting, application of internal accounting controls, misuse of funds and auditing matters, are subject to a separate Investigation of Financial Improprieties procedure (attached hereto as Appendix A and incorporated herein by reference) , which vests responsibility for investigating and resolving complaints relating to "Financial Matters" in the Treasurer and the Finance Committee.)

*WHISTLEBLOWER POLICY, continued***Initial Contact**

Board, staff or clients who feel they need to report a potential violation of either agency policy or the law should report their concerns to the Contact Person(s) named below:

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A Past Board Chair

Additional, Alternative contacts are the Current Board Chair, the current Vice Chair or the Current Treasurer. (This information will be posted in the kitchen each January).

The Contact Person's role is limited solely to collecting all of the information he can that is relevant to the reported issue, and then to pass it on to the appropriate person(s), other contacts and to other appropriate persons, within the organization for investigation and, where warranted, disciplinary action.

Investigation of Report

Once the Contact Person has gathered all of the pertinent information from the person making the report, he will refer the matter according to the matrix below:

Subject of Report/Complaint	Matter to be referred to
A "Big"	Agency CEO
Non-management staff member	Agency CEO
Member of management team	Agency CEO and Board Chair
Agency CEO	Board Chair and Vice Chairs
Board Member	Agency CEO and Board Chair
Board Chair	Agency CEO and Board Vice Chairs

Resolution

Once the appropriate party or parties have fully investigated the reported activity pursuant to agency rules and policies (including this Whistleblower Policy), and the matter is resolved whether through disciplinary action, or a determination that no action was warranted, the result is to be reported back to the Contact Person, to assure that he is aware that his referral was fully dealt with.

Compliance

The CEO, Board Chair and/or Board Vice Chairs will ensure Compliance, and are responsible for resolving all reported complaints and allegations concerning suspected violations of YBBBS' Code of Ethics, and shall advise the Finance & Audit Committee.

Accounting and Auditing Matters

The Finance Committee of the Board of Directors shall address all reported concerns or complaints regarding YBBBS' accounting practices, internal controls or auditing. The

WHISTLEBLOWER POLICY, continued

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CEO shall immediately notify the Finance Committee of any such complaints received by her, and work with the committee until the matter is resolved.

Acting in Good Faith

Anyone filing a complaint concerning a violation or suspected violation of YBBBS’ Code of Ethics must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation. Any allegations which prove to have been made maliciously made or knowingly to be false will be viewed as a serious disciplinary offense.

Confidentiality

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

Handling of Reported Violations

The Contact Person will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation. The Contact Person will notify the reporting party when the matter has been resolved. (Details of the resolution, and any corrective or disciplinary action taken, should not be divulged to the reporting party due to confidentiality requirements.)

Acknowledgement and Distribution of Policy

YBBBS’ board members, staff and volunteers are required to demonstrate the highest ethical, moral and legal conduct at all times. The Board of Directors is particularly sensitive to individuals who hold management and governance positions of trust and confidence in fulfilling the mission and vision of YBBBS. These positions include all board members, the CEO and senior management. Therefore, those in the above positions will receive a copy of this Whistleblower Policy and any subsequent updates, and will be requested to acknowledge and sign the current Code of Ethics and any revisions thereof. This acknowledgement will be kept in the staff members’ personnel files and the Board of Directors’ meeting book.

Print Name

Date

Signature

Title