



**Mission Statement:**

To improve the quality of life of the residents of the Lower 9th Ward.

## LOWER 9<sup>TH</sup> WARD HOMEOWNERSHIP ASSOCIATION

### WHISTLEBLOWER PROTECTION POLICY

The Lower 9<sup>th</sup> Ward Homeownership Association (“the Organization”) requires directors, officers and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of the Organization, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

#### **Reporting Credible Information**

This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns internally so that the Organization can address and correct inappropriate conduct and actions. All board members, officers, employees and volunteers should report concerns about violations of the Organization’s policies or violations of law or regulations that govern the Organization’s operations.

#### **No Retaliation**

This Whistleblower Protection Policy applies to all of the Organization’s staff, whether full-time, part-time, or temporary employees, to all volunteers, to all who provide contract services, and to all officers and directors, each of whom shall be entitled to protection (“Protected Persons”).

It is contrary to the values of the Organization for anyone to retaliate against anyone who in good faith reports a violation of the Organization’s policies or a violation of law, such as a complaint of discrimination, or suspected fraud, or suspected violation of any regulation governing the operations of the Organization.

An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment.

#### **Reporting Procedure**

The Organization has an open door policy and suggests that Protected Persons 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 Executive Director. Protected Persons with concerns or complaints may also submit their concerns in writing directly to their supervisor or the Executive Director. If the report relates to the Executive Director, the report shall be made to a member of the Board of Directors.

Supervisors are required to report complaints or concerns about suspected ethical and legal violations in writing to the Executive Director, who has the responsibility to investigate all reported complaints. If the report relates to the Executive Director, the report shall be made to a member of the Board of Directors.

### **Investigating Information**

The Executive Director shall be the Compliance Officer. The Compliance Officer is responsible for ensuring that all complaints about unethical or illegal conduct or violations of the Organization's policies are investigated and resolved. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation. The Compliance Officer will advise the Board of Directors of all complaints and their resolution. The Compliance Officer shall immediately notify the Treasurer of any concerns or complaints regarding corporate accounting practices, internal controls or auditing and shall work with the Treasurer until the matter is resolved.

### **Acting in Good Faith**

Anyone filing a written 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.

### **Confidentiality**

The Organization encourages anyone reporting a violation to identify himself or herself when making a report in order to facilitate the investigation. However, reports may be submitted on a confidential basis by the Protected Person. Reports will be kept confidential to the extent possible, with the understanding that confidentiality may not be maintained where identification is required by law or in order to enable the Organization or law enforcement to conduct an adequate investigation.

### **Handling of Reported Violations**

The Organization's 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 corrective action will be taken if warranted by the investigation.