

School for Advanced Research Whistleblower Policy and Procedures

Adopted by the Governance Committee on November 15, 2017

Approved by the Board of Directors on February 24, 2018

Policy:

The School for Advanced Research encourages employees, board members, volunteers and others related to the organization to report any violation of policy, procedure, or ethics; illegal activity; or other misconduct by employees, volunteers, or others related to the organization. No person who, in good faith, reports a violation shall suffer harassment, retaliation or adverse employment consequence. An employee, board member, or volunteer who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment or volunteer position at SAR.

Procedures:

Confidential reports can be made directly to the board chair, vice chair(s), the president, or the personnel director (per *SAR Contacts* in Attachment A). To the extent that the activity or misconduct involves the president the report should be made directly to the board chair or vice chair.

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

Unless the complainant is anonymous, the recipient of a complaint will notify the sender and acknowledge receipt of the reported violation or misconduct within five business days by phone or email. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

Attachment A

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SAR Contacts:

Internal Whistleblower reports may be addressed *by email or anonymously in writing* to any of the following:

1. Michael F. Brown, President, SAR, PO Box 2188, Santa Fe, NM 87504 mfbrown@sarsf.org
2. Carol Sandoval, Personnel Director, SAR, PO Box 2188, Santa Fe, NM 87504 sandoval@sarsf.org
3. Lynne Withey, SAR Board chair, 2527 Greenwich Street, San Francisco, CA 94123 Lynne.withey@gmail.com
4. Elizabeth Roghair, SAR Board vice chair, 34 Monterey Road, Santa Fe, NM 87508 eroghair@northwestern.edu