

WHISTLEBLOWER POLICY
OF
BUTLER UNIVERSITY

The University exists to serve its charitable and educational mission and purposes. The University's assets and activities must be directed toward the accomplishment of benevolent, charitable, and educational outcomes, and not diverted or manipulated to serve private interests. To these ends, the Board of Trustees adopts this Whistleblower Policy in order to encourage and empower the University's trustees, officers, employees, and volunteers to report misuse, inappropriate allocation or diversion of the University's charitable and educational resources, including, but not be limited to, the following:

- Theft;
- Unauthorized reimbursement of personal expenses;
- Misallocation of federal, state or philanthropic grant proceeds (i.e., use for a purpose other than as stated in the grant agreement);
- Financial reporting that is knowingly or intentionally misleading;
- Improper or undocumented financial transactions;
- Improper destruction of records;
- Improper use, including unauthorized or undocumented personal use, of assets;
- Any other improper occurrence regarding cash, financial procedures, or reporting;
- Violations of the University's Conflict of Interest policy; and
- Any other violations of the University's policies and procedures, each, a "Misuse."

Obligation to Report

Actual, suspected, or threatened Misuses shall be promptly reported to the President of the University (the "President") or the President's designee, or in the case of a report concerning the President, to the Chairperson of the Board of Trustees (each a "Responsible Officer"). If the person making the report (the "Whistleblower") so requests, the Whistleblower's identity shall be kept confidential. Furthermore, a Whistleblower may submit a report anonymously, through Ethicspoint via www.ethicspoint.com / My.Bulter.Edu: Ethicspoint link / 1-800-445-9198. However, the Whistleblower should be aware that, in some instances, preserving anonymity could make it more difficult to investigate the report and ensure appropriate resolution of the reported Misuse.

The Responsible Officer shall take the following steps:

1. Take appropriate action to investigate the reported Misuse;
2. If, after such investigation, the Responsible Officer reaches the conclusion that no Misuse has occurred, the Responsible Officer shall forward a final written report to the Audit Committee and meet with the Whistleblower (unless the report was made anonymously) for the purpose of providing a copy of the Responsible Officer's report and discussing the report, including decisions regarding the report and recommended resolutions;

3. Any reported Misuse that is believed to be credible [**and does not exceed \$10,000**] may be resolved by the President or the President's designee, with a report to the Audit Committee as outlined in Section 2 above; and
4. Any reported Misuse that is believed to be credible [**and exceeds \$10,000**] shall be forwarded to the Audit Committee. The Audit Committee shall afford the person accused of the Misuse an opportunity to defend the accusation in a proceeding that is fair and reasonable. Thereafter, the Audit Committee may further investigate the reported Misuse, as it deems appropriate.

The Audit Committee shall determine whether a Misuse has occurred, with an affirmative finding requiring a two-thirds majority vote of the disinterested committee members. If the Audit Committee determines that a Misuse has occurred, it shall consider and take appropriate action which may include, but not be limited to: (a) requiring the return of any misappropriated assets or funds; (b) removal or dismissal of the person who committed the Misuse; and (c) reporting the Misuse to the appropriate legal and law-enforcement authorities.

No Retaliation

Every trustee, officer, employee, or volunteer who has a reasonable belief or suspicion that a Misuse has occurred should feel free to raise the concern, in good faith, without fear of retaliation. It shall be considered a violation of this Policy for any trustee, officer, employee, or volunteer to retaliate, encourage, or permit retaliation against a person for reporting an actual, suspected, or threatened Misuse. Employees will not be disciplined, demoted, terminated, or otherwise face retaliation for bringing concerns, in good faith, to the attention of the University and providing the University a reasonable opportunity to investigate and take appropriate action. Any trustee, officer, employee, or volunteer who engages in retaliation will be subject to disciplinary action, which may include, but not be limited to, removal and/or dismissal. Reports of retaliation should be made pursuant to the reporting procedures of this Policy.

This Policy is intended to be used in good faith and in a judicious manner. Reports that are not made in good faith, or are otherwise made for purposes of harassing or annoying another party, may result in disciplinary action.

Contact Information

President or President's Designee

President – 317-940-9900
Vice President for Finance – 317-940-9900

Board of Trustees

Board of Trustee Chair – 317-940-9900
Audit Committee Chair – 317-940-9900