



# Policies and Procedures

**Policy Title:**  
**Reporting and Investigating Allegations of  
Wrongful Conduct**

**Policy No.:** 6015  
**Effective Date:** June 2009  
**Last Revision:** June 29, 2015

**Responsible Office:** Office of Human Resources  
**Responsible Official:** Vice President for Human Resources, Title IX  
Coordinator and Diversity Officer

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## Scope

This Policy is intended to encourage the disclosure of wrongful conduct (“Disclosure”) to the appropriate official at the University of New Haven so that prompt and appropriate corrective action can be taken.

## Policy Statement

Individuals may not use or attempt to use their authority or influence related to their position at the University of New Haven to interfere with another Individual's right to make a Disclosure in accordance with this Policy.

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## **Reason for the Policy**

The University encourages all members of the board of governors, and the officers, staff, employees and volunteers, when acting in good faith, to report wrongful conduct (as defined next below). The University is committed to protecting Individuals from interference with making a Disclosure under this Policy; and thus, no Individual making a Disclosure in good faith *and* on a reasonable belief that wrongful conduct has occurred shall suffer retaliation.

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## **Definitions**

- **Wrongful Conduct**

(a) Wrongful conduct is improper action or inaction relating to the University which is undertaken by an individual or individuals, either internal or external to the University, or by one or more organizations or other entities external to the University.

(b) Wrongful conduct includes, but is not limited to: (i) serious violations of the University policies; (ii) violations of Federal, state or local law; (iii) improper use of University property or authority for personal gain; and (iv) false or misleading representations of material facts, whether by words or conduct (including concealment of that which should have been disclosed and which deceives).

- **Individuals**

The University's board of governors members, and the officers, staff, employees and volunteers.

- **The Disclosure Submission Offices ("DSOs")**

If an Individual decides to submit his/her Disclosure to an office (instead of submitting the Disclosure to his/her supervisor – *See* Policy Section 6015.5(a) below), these offices (the Disclosure Submission Offices, or the "DSOs") are listed in Policy Section 6015.7 below.

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## Policy Sections

### **6015.1 Administrator of this Policy**

The Administrator of this Policy is the University's Associate Vice President for Human Resources, Title IX Coordinator and Diversity Officer. (*See* Policy Section 6015.7.3 below.)

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### **6015.2 Disclosures which turn out to be False Allegations**

(a) Disclosures that are made pursuant to this Policy which are not eventually substantiated, yet which have been made in good faith *and* which are based on a reasonable belief that wrongful conduct has occurred, shall not subject the disclosing Individual to disciplinary action.

(b) However, any Individual who knowingly, or with a reckless disregard for the truth, gives false information – or makes a false report of wrongful conduct or retaliation – in connection with a Disclosure shall be subject to appropriate disciplinary action.

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### **6015.3 Retaliation Prohibited**

Any Individual who retaliates against another Individual as a result of a Disclosure shall be subject to appropriate disciplinary action.

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### **6015.4 Confidentiality**

Disclosures shall be submitted on a confidential basis by an Individual or, in the alternative, shall be submitted anonymously. Disclosures will be kept confidential to the extent possible, consistent with the need to investigate and applicable law.

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### **6015.5 Submitting a Disclosure**

(a) Individuals should report their Disclosure to an Individual who can address it properly. In many cases, the Individual's supervisor is in the best position to address an area of concern.

(b) However, if an Individual is uncomfortable with making such a submission to his or her supervisor or is not satisfied with the response received from that supervisor, then, the Individual should submit his/her concerns to the appropriate Disclosure Submission Office (a “DSO”) that is listed in Section 6015.7 below, which will then investigate and/or address the Disclosure as appropriate.

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### **6015.6 Investigation of a Disclosure; Duty to Cooperate**

If an Individual submits his/her Disclosure to a DSO (a Disclosure Submission Office), then:

(a) A DSO which receives a Disclosure shall notify the disclosing Individual (if not anonymous), and acknowledge receipt of the Disclosure, within fifteen (15) business days (or sooner if appropriate – *e.g.*, a criminal issue).

(b) All Disclosures submitted in writing will then be investigated by the subject DSO within approximately sixty (60) days. More specifically, the DSO shall investigate the merits of each Disclosure, and may request information from the University’s staff and employees, as the DSO may deem necessary or appropriate. In addition, the DSO may confidentially consult in its discretion with the University’s counsel or other appropriate persons in connection with investigating a Disclosure.

(c) In order to enable the DSO to properly investigate a Disclosure, the Individual (regardless of whether or not the Disclosure has been submitted by him/her anonymously) shall fully and timely cooperate with the DSO in providing any further information which the DSO may request. In the event that the Individual were to fail or refuse to cooperate with any requests for additional information by the DSO, then, in the DSO’s sole discretion, the DSO’s files can be closed with a notation to the effect that no action has been taken as a result of the Individual’s failure or refusal to fully and timely cooperate in the DSO’s investigation.

(d) Upon completion of the DSO’s investigation, the DSO shall give a confidential report to the Policy’s Administrator regarding: (i) the Disclosure; (ii) the results of the investigation; and (iii) any appropriate corrective action that has or will be taken if warranted by the results of the investigation.

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The Disclosure Submission Offices –DSOs– are the following:

#### **6015.7.1 Academic Misconduct**

Faculty–related: Contact Academic Affairs (203) 932-7267

Student-related: Associate Vice President for Student Affairs &  
Dean of Students (203) 932-7176

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**6015.7.2 Criminal Matters**

Contact Campus Police (203) 932-7014

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**6015.7.3 Employment Matters**

Contact Associate Vice President for Human Resources, Title IX  
Coordinator and Diversity Officer (203) 932-7479

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**6015.7.4 Financial Matters**

Contact Vice President for Finance (203) 932-7273

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**6015.7.5 Legal Matters**

Contact General Counsel (203) 498-4329

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**6015.7.6 Medical or Health Matters**

Contact Student Health Center (203) 932-7003

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**6015.7.7 All Other *Student* Matters**

Contact Associate Vice President for Student Affairs & Dean of  
Students (203) 932-7176

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**6015.7.8 All Other Matters**

Contact General Counsel (203) 498-4329

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*amended*

*•This UNH Whistleblower Policy was  
and restated in its entirety on 6/29/2015.*