

OSWEGO COUNTY CIVIC FACILITIES CORPORATION

Whistleblower Policy and Procedures

Purpose

It is the policy of Oswego County Civic Facilities Corporation (OCCFC) to afford certain protections to individuals who in good faith report violations of the OCCFC's Code of Ethics or other instances of potential wrongdoing within the OCCFC. The Whistleblower Policy and Procedures set forth below are intended to encourage and enable employees to raise concerns in good faith within OCCFC and without fear of retaliation or adverse employment action.

Definitions

“Good Faith”: Information concerning potential wrongdoing is disclosed in “good faith” when the individual making the disclosure reasonably believes such information to be true and reasonably believes that it constitutes potential wrongdoing.

“OCCFC Employee”: All board members, and officers and staff employed at OCCFC whether full-time, part-time, employed pursuant to contract, employees on probation and temporary employees.

“Whistleblower”: Any OCCFC Employee (as defined herein) who in good faith discloses information concerning wrongdoing by another OCCFC employee or concerning the business of the OCCFC itself.

“Wrongdoing”: Any alleged corruption, fraud, criminal or unethical activity, misconduct, waste, conflict of interest, intentional reporting of false or misleading information, or abuse of authority engaged in by a OCCFC Employee (as defined herein) that relates to the OCCFC.

“Personnel action”: Any action affecting compensation, appointment, promotion, transfer, assignment, reassignment, reinstatement or evaluation of performance.

Section I: Reporting Wrongdoing

All OCCFC Employees who discover or have knowledge of potential wrongdoing concerning board members, officers, or employees of OCCFC; or a person having business dealings with OCCFC; or concerning OCCFC itself, shall report such activity in accordance with the following procedures:

- a) The OCCFC Employee shall disclose any information concerning wrongdoing either orally or in a written report to his or her supervisor, or to the OCCFC's ethics officer, general counsel or human resources representative.
- b) All OCCFC Employees who discover or have knowledge of wrongdoing shall report such wrongdoing in a prompt and timely manner.

c) The identity of the whistleblower and the substance of his or her allegations will be kept confidential to the best extent possible.

d) The individual to whom the potential wrongdoing is reported shall investigate and handle the claim in a timely and reasonable manner, which may include referring such information to the Authorities Budget Office or an appropriate law enforcement agency where applicable.

e) Should a OCCFC Employee believe in good faith that disclosing information within the OCCFC pursuant to Section 1(a) above would likely subject him or her to adverse personnel action or be wholly ineffective, the OCCFC Employee may instead disclose the information to the Authorities Budget Office or an appropriate law enforcement agency, if applicable. The Authorities Budget Office's toll-free number (1-800-560-1770) should be used in such circumstances.

Section II: No Retaliation or Interference

No OCCFC Employee shall retaliate against any whistleblower for the disclosure of potential wrongdoing, whether through threat, coercion, or abuse of authority; and, no OCCFC Employee shall interfere with the right of any other OCCFC Employee by any improper means aimed at deterring disclosure of potential wrongdoing. Any attempts at retaliation or interference are strictly prohibited and:

a) No OCCFC Employee who in good faith discloses potential violations of OCCFC's Code of Ethics or other instances of potential wrongdoing, shall suffer harassment, retaliation or adverse personnel action.

b) All allegations of retaliation against a Whistleblower or interference with an individual seeking to disclose potential wrongdoing will be thoroughly investigated by OCCFC.

c) Any OCCFC Employee who retaliates against or had attempted to interfere with any individual for having in good faith disclosed potential violations of OCCFC's Code of Ethics or other instances of potential wrongdoing is subject to discipline, which may include termination of employment.

d) Any allegation of retaliation or interference will be taken and treated seriously and irrespective of the outcome of the initial complaint, will be treated as a separate matter.

Section III: Other Legal Rights Not Impaired

The Whistleblower Policy and Procedures set forth herein are not intended to limit, diminish or impair any other rights or remedies that an individual may have under the law with respect to disclosing potential wrongdoing free from retaliation or adverse personnel action.

This Policy is adopted the 20th day of November, 2019, by action of the OCCFC Board.



H. Leonard Schick, Secretary