

KANSAS STATE UNIVERSITY FOUNDATION

Title	Whistleblower Policy	Version	2
Committee	Governance Committee	Approval Date	09/18/2014
Approved By	Fred Cholick (President / Chief Executive Officer)	Approval Date	09/18/2014

Printed copies are for reference only. Please refer to the electronic copy for the latest version.

Rationale

The Board of Directors (hereinafter the "Board") for the Kansas State University Foundation (hereinafter the "Foundation") has adopted a formal mission statement, vision statement and values statement. All board members, officers and employees of the Foundation are expected to be diligent in conducting all activities in a manner consistent with the Foundation's values of respect, diligence and integrity which should guide interactions, decisions and work. It is therefore the responsibility of all board members, officers and employees to report wrongful conduct in the form of violations or suspected violations of the Foundation's policies in accordance with this Whistleblower Policy.

Applies To

All Board Members, Officers and Employees of the Foundation.

Policy

It is the purpose of this policy to protect persons who report suspected incidents of theft; financial reporting that is intentionally misleading; improper or undocumented financial transactions; improper destruction of records; improper use of assets; violations of the Foundation's conflict-of-interest policy and any other improper occurrences including but not limited to cash, financial procedures, or reporting.

Should any board member, officer or employee know or have a reasonable belief that persons associated with the Foundation plan to engage or have engaged in illegal or unethical conduct in connection with the finances or any other aspect of the Foundation's operations that person should immediately file a good faith complaint. Reports of violations or suspected policy violations are kept confidential to the extent possible, as is consistent with the need to conduct an adequate investigation.

No board member, officer or employee who in good faith reports suspected misconduct shall suffer harassment, retaliation or adverse employment consequences. This Whistleblower Policy

is intended to encourage and enable employees and others to raise serious concerns within the Foundation prior to seeking resolution outside the Foundation. An employee who retaliates against someone who has reported a violation in good faith is subject to disciplinary action, up to and including termination of employment.

Any board member, officer or employee who knowingly or with reckless disregard for the truth gives false information or knowingly makes a false report of wrongful conduct or a subsequent false report of retaliation will be subject to disciplinary action, up to and including termination.

This policy will be distributed annually to all board members and officers in conjunction with the completion of the conflict of interest statement. Foundation employees will receive this policy as a part of their new employee orientation. Additionally, the policy will be distributed electronically to employees in a manner that provides for documentation that the employee has had the opportunity to read and understand the policy as well as ask questions about the policy.

Reporting

Board members and officers should report a violation or suspected violation to the Foundation's CEO unless the CEO is the implicated person. If that is the case, the Chairman of the Board of Directors should be notified. Employees may report a violation or suspected violation by talking with his/her immediate supervisor, to any manager or executive of the Foundation, to the Senior Director of Human Resources, the Compliance Officer or the Foundation's CEO. Additionally the Foundation has partnered with EthicsPoint to provide an easy-to-use external pathway for employees to report, in good faith, activities that may involve certain unethical behaviors or misconduct. EthicsPoint is accessed through a web portal at www.k-statefoundation.ethicspoint.com or the toll-free hotline at 855-446-5251. Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously.

If the reported concerns or complaints are with regards to corporate accounting practices, internal controls or auditing and taxation the Compliance Officer is responsible for investigating and resolving complaints and allegations. The Compliance Officer will notify the Finance & Audit Committee of any such complaint and work with the committee until the matter is resolved. The Sr. Director of Human Resources is responsible for investigating all other types of complaints. As appropriate the complainant should be notified of the resolution of the investigation. See the [Whistleblower Procedure](#) for specific information regarding reporting a complaint through the EthicsPoint Hotline.

The Foundation shall take appropriate action in response to any complaint, including, but not limited to, disciplinary action (up to and including termination) against any person who, in the Foundation's assessment, has engaged in misconduct. In addition, the Foundation shall report such misconduct to the relevant civil and criminal authorities as required by law.

Definitions

Term	Definition
EthicsPoint Hotline	The Foundation has contracted with Navex Global to provide a third party reporting system which allows for anonymous complaints to be made thus protecting the reporting employee from retaliation. Employees may report complaints or alleged wrong-doing via a website portal or a toll-free number. Complaints are investigated by designated employees of the Foundation.
Protected disclosure	Communication about actual or suspected wrongful conduct violations engaged in by a Foundation Board Member, Officer or employee based on a good faith and reasonable belief that the conduct has both occurred and is wrongful under applicable law and/or Foundation policy. Individuals who are aware of or have reason to suspect a violation should report the conduct in accordance with the Whistleblower Procedure .
Retaliation	Adverse action against an individual because he or she has made a protected disclosure or has participated in an investigation involving a protected disclosure.
Wrongful conduct	A serious violation of Foundation policy; a violation of applicable state and federal laws; or the use of Foundation property, resources, or authority for personal gain or other non Foundation-related purpose except as provided under Foundation policy.

References & Links

[Disciplinary Policy](#)

[Disciplinary Procedure](#)

EthicsPoint web portal: www.k-statefoundation.ethicspoint.com

[Whistleblower Procedure](#)

Contact

Department or Person	Phone Number
Compliance Officer	785-532-7567
Sr. Director of Human Resources	785-532-7570
Ethics Point Toll-free	855-446-5251