

Whistleblower Policy and Procedures

It is the policy of the Clifton Park Water Authority to afford certain protections to individuals who in good faith report violations of the CPWA's Code of Ethics or other instances of potential wrongdoing within the Authority. The Whistleblower Policy and Procedures set forth below are intended to encourage and enable employees to raise concerns in good faith within the CPWA, and without fear of retaliation or adverse employment action.

1. 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.

"Whistleblower": Any CPWA employee or Board Member who in good faith discloses information concerning wrongdoing by another CPWA employee or Board Member, or concerning the business of the CPWA 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 CPWA employee or Board Member that relates to the CPWA.

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

2. Reporting Wrongdoing

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

- a. The CPWA employee shall disclose any information concerning wrongdoings either orally or in a written report to his or her supervisor, or the CPWA Administrator, general counsel or Business Manager.
- b. All CPWA 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 CPWA employee believe in good faith that disclosing information within the CPWA pursuant to Section 1(a) above would likely subject him or her to adverse personnel action, or be wholly ineffective, the CPWA 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.

3. No Retaliation or Interference

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

- a. No CPWA employee who in good faith discloses potential violations of the CPWA'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 the CPWA.
- c. Any CPWA employee who retaliates against or had attempted to interfere with any individual for having in good faith disclosed potential violations of the CPWA'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.

4. 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.