

**SERTOMA CENTRE, INC.**

**STANDARD POLICIES AND PROCEDURES**

**Subject:** Allegations of Ethics Code Violations

**Approved By:** Board of Directors

**Date Approved:** December 21, 1998

**Effective Date:** December 21, 1998

**Revised:** February 25, 2002  
August 26, 2013

**Purpose:**

The purpose of this policy is to ensure that all allegations of violations of Sertoma Centre's Code of Ethics are investigated and addressed.

**Policy:**

Individuals, family members, guardians, staff and members of the community have the right to have allegations of Ethics Code Violations investigated and addressed.

Allegations of violations should be reported directly to the Executive Director of Sertoma Centre. Alleged violations should be put in writing, but verbal reports by telephone or in person are also acceptable. Verbal reports must be recorded in writing, signed by the person reporting the allegations, and submitted to the Executive Director within 72 hours of the verbal report. Sertoma Centre practices a no-reprisal approach for employees reporting allegations of violations of the Code of Ethics.

Allegations will be promptly investigated by the Executive Director and other Sertoma staff as deemed appropriate and necessary. A written response will be provided to the person(s) making the allegations within 30 days of receipt of the written allegation. All individual, family, guardian and staff confidentiality requirements will be maintained to the extent possible during the investigation and reporting process. The Executive Director will communicate the results of the investigation to the person(s) making the allegations.

Remedial action(s), if indicated and needed, will be initiated by the Executive Director.

Allegations of Ethics violations involving the Executive Director should be reported directly to the President of the Board of Directors of Sertoma Centre. He or she will follow the same basic investigative process as noted above.

If a person does not agree with the findings of the Ethics violation investigation, he or she may appeal directly to the President of the Board of Directors. The appeal must be submitted in

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writing. The President will review the results of the investigation and findings and make a final decision, in writing, to the person appealing the results within 45 days of receipt of a written appeal. The decision by the President of the Board of Directors is final.

The Executive Director (or the President of the Board of Directors, if the allegation involves the Executive Director), will report all ethical code violations and the results of all ethical code investigations to the members of the Corporate Compliance Committee. Any violations and investigations will be reviewed by Committee members as part of regularly scheduled Committee Meetings, unless the Executive Director or President of the Board of Directors deems it necessary to convene a special Committee Meeting to conduct a review.

All Ethical Code violations and investigations involving the rights of individuals will also be reported to the Human Rights Committee by the Executive Director or his or her designee.