



The Helene Wurlitzer Foundation of New Mexico

218 Los Pandos Rd • Taos, New Mexico • wurlitzerfoundation.org

HWF Whistleblower Protection Policy

The Helene Wurlitzer Foundation of New Mexico (HWF) requires directors, officers and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of the The Helene Wurlitzer Foundation, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

A copy of this Policy is located at: https://wurlitzerfoundation.org/assets/pdf/hwf_whistleblower_protection_policy.pdf. Reports may be made anonymously or with identification by using the Whistleblower Report Form (page 3 below).

Reporting Responsibility

This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns internally so that HWF can address and correct inappropriate conduct and actions. It is the responsibility of all board members, officers, employees and volunteers to report concerns about violations of HWF's code of ethics or suspected violations of law or regulations that govern HWF's operations.

No Retaliation

It is contrary to the values of The Helene Wurlitzer Foundation for anyone to retaliate against any board member, officer, employee or volunteer who in good faith reports an ethics violation, or a suspected violation of law, such as a complaint of discrimination, or suspected fraud, or suspected violation of any regulation governing the operations of The Helene Wurlitzer Foundation. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment.

Reporting Procedure

The Helene Wurlitzer Foundation has an open door policy and suggests that employees share their questions, concerns, suggestions or complaints with their supervisor. If you are not comfortable speaking with your supervisor or you are not satisfied with your supervisor's response, you are encouraged to speak with the President of the Board of Directors. Supervisors and managers are required to report complaints or concerns about suspected ethical and legal violations in writing to the The Helene Wurlitzer Foundation's President of the Board, who has the responsibility to investigate all reported complaints. Employees with concerns or complaints may also submit their concerns in writing directly to their supervisor or the Executive Director, or Vice President of the Board.

The Board of Trustees is responsible for ensuring that all complaints about unethical or illegal conduct are investigated and resolved. They will advise the Executive Director and/or the Board of Directors of all complaints and their resolution.

Acting in Good Faith

Anyone filing a written complaint concerning a violation or suspected violation must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary and/or legal offense.

Confidentiality

Violations or suspected violations may be submitted on a confidential basis by the complainant. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

Handling of Reported Violations

A representative of The Helene Wurlitzer Foundation's Board will notify the person who submitted a complaint and acknowledge receipt of the reported violation or suspected violation. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

Approved by the HWF Board of Trustees on August 12, 2020



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HWF Whistleblower Report Form

INSTRUCTIONS: The Helene Wurlitzer Foundation of New Mexico (HWF) accepts and investigates allegations of improper activities by HWF employees or where HWF is potentially a victim of wrongdoing.

Who? Who is involved? Who else knows about the improper activities? Who can and would confirm that they occurred?

What? What is the complaint specifically?

Where? Where did this happen?

When? When did it happen? Is it ongoing? How frequently has it occurred?

Complaint: Briefly describe the improper activity and how you know about it. Use as many pages as necessary.