

WHISTLE BLOWER POLICY
(Approved by the CAIS Board, August 2017, External)

CAIS requires employees and Board members to observe high standards of professional and personal ethics in the conduct of their duties and responsibilities. It is the responsibility of all CAIS employees and Board members to report concerns about violations of CAIS's policies or suspected violations of law or regulations that govern CAIS's operations.

1. The Whistleblower should promptly report the suspected or actual event to his/her supervisor.
2. If the Whistleblower is uncomfortable or otherwise reluctant to report to his/her supervisor, then the Whistleblower may report the event to the next highest or another level of management, including to an appropriate Board member.
3. The Whistleblower can report the event with his/her identity known or anonymously. It is the policy of CAIS to treat all reports in a confidential and sensitive manner.
4. The Whistleblower shall receive no retaliation or retribution for a report that was provided in good faith – that was not done primarily with malice to damage another or CAIS. A Whistleblower who intentionally makes false accusations in reporting will not be protected.
5. Anyone who retaliates against the Whistleblower (who reported an event in good faith) will be subject to disciplinary action, including termination of the Board or employee relationship.
6. Crimes against person or property, such as assault, rape, and other serious crimes, should immediately be reported to local law enforcement personnel.
7. Supervisors, managers and/or Board members who receive the reports must promptly act to investigate and/or resolve the issue.

8. The Whistleblower shall receive acknowledgment of receipt of the report within five business days of the submission of the report. Depending on the nature of the issue, the Whistleblower may or may not be provided with any further information regarding the investigation, disposition or resolution of the issue.
9. The identity of the Whistleblower, if known, shall remain confidential to those persons directly involved in applying this policy, unless the issue requires investigation by law enforcement, in which case all persons involved will be subject to applicable laws.
10. A Whistleblower who makes a report that is not done in good faith may be subject to any disciplinary action, including termination of the Board or employee relationship, or other legal means to protect the reputation of CAIS and members of its Board and employees.