

	<h1>CORPORATE POLICY</h1>	Number: <b>EC&amp;F 2.1</b> Owner: <b>Ethics &amp; Labor Relations</b> Type: <b>Ethics Compliance &amp; Fraud</b> Effective Date: <b>5-2011</b> Last Revision Date: <b>3-2011</b>
Title <b>COMPLAINT REPORTING AND ANTI-RETALIATION</b>		

## SECTION 1 – PURPOSE

The policy presents the appropriate methods for members of the [State Fund Workforce](#) to report ethical or business conduct concerns and complaints and establishes the members' rights and guaranteed protections against retaliation or retribution.

## SECTION 2 – POLICY STATEMENTS

### 2.1 State Fund's commitment to promoting a high standard of ethical and legal conduct.

- It is the responsibility of each State Fund Workforce member to report, anonymously if desired, any suspected improper activity, ethical concern, or privacy and confidentiality breach.
- State Fund policy will treat seriously and expeditiously each complaint of actual or potential wrongdoing, including an actual or potential violation of law, regulation, policy, or procedure.
- State Fund Workforce members who report concerns will not be subject to retaliation, retribution, or harassment.
- No employee is permitted to engage in retaliation, retribution or any form of harassment against another employee for reporting compliance related concerns.

### 2.1 Reporting Complaints and Concerns

State Fund Workforce members may report suspected improper activity by State Fund or State Fund employees, anonymously if they so choose, to the California Bureau of State Audits. Improper activities include: a) any suspected misuse of [Recovery Act funds](#); b) theft, fraud, or conflicts of interest; c) misuse, abuse, or any behavior otherwise that is wasteful of state property or employee time; and d) gross misconduct, incompetence, or inefficiency. The three ways to confidentially report information to the California State Auditor are:

- Call the Whistleblower Hotline [800-952-5665](tel:800-952-5665);
- Mail information to:
  - Investigations,
  - Bureau of State Audits, 555 Capitol Mall, Suite 300
  - Sacramento, CA 95814
- Submit a complaint online to the Bureau of State Audits: [www.bsa.ca.gov/hotline](http://www.bsa.ca.gov/hotline).

State Fund's *Integrity in Action* program promotes greater transparency and the reporting of ethical concerns, including non-compliance with Corporate Policies and the [Code of Conduct](#), by members of the State Fund Workforce. *Integrity in Action's* 24-hour toll free number is [866-294-1742](tel:866-294-1742).

Concerns about privacy and confidentiality may be reported to the Privacy Office in the Governance department or to the 24-hour toll free hotline is [866-294-1742](tel:866-294-1742).

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**2.2 Impartial Review and Investigation**

State Fund is committed to conducting thorough, competent, and timely reviews and investigations of complaints that are impartial, honest, and fair.

State Fund's Internal Audit department is responsible for oversight of the investigation of reports of suspected improper activities or ethical concerns reported about members of the State Fund Workforce. The Bureau of State Audits may request Internal Audit to assist in conducting investigations of suspected improper activities reported through the California Whistleblower Complaint Program. The State Fund Governance department is responsible for managing State Fund's privacy and confidentiality matters.

**2.3 No Retaliation**

State Fund workforce members are prohibited from attempting to or engaging in retaliation, retribution, or any form of harassment against another workforce member or applicant for employment who reports, in good faith, ethics related or business conduct concerns.

The California Whistleblower Protection Act prohibits reprisal for reporting suspected improper activity. State Employees may report complaints of retaliation in writing to the California State Personnel Board at 801 Capitol Mall, MS53, Sacramento, CA 95814 or by telephone at (916) 653-1456.

**2.4 Confidentiality**

Information obtained as a result of the reporting or investigation process, including the identity of the reporting party, will be kept confidential to the extent possible.

**SECTION 3 – APPLICABILITY, SCOPE & BASIS**

The policy applies to members of the State Fund Workforce.

**NOTICE**

All State Fund employees will be required to sign a statement annually that they have read and understand this policy as part of State Fund's *Code of Conduct* acknowledgement process.

**3.1 Related Laws, Regulations or Industry Standards**

This policy is enacted in adherence to:

- [Federal Sentencing Guidelines USSG Manual § 8B2.1 \(b\)\(5\)\(C\);](#)
- [California Whistleblower Protection Act Cal. Government Code §§ 8547-8547.12 and 8548.4;](#)
- [Cal. Government Code §§19682-19683.5;](#) and
- [Cal. Code of Regulations 2 CCR §§ 56-56.8.](#)

**SECTION 4 – AUTHORITY**

The Senior Vice President of Human Resources is responsible for policy assurance and oversight. The Ethics and Labor Relations Program Manager as policy owner is responsible for compliance with, updates to, and enterprise monitoring of this Corporate Policy.

**SECTION 5 – RELATED CORPORATE POLICIES**

- EC&F-2.0 – Privacy and Confidentiality
- EC&F 2.2 – Incompatible Activities Statement and Policy
- EC&F 2.3 – Business Ethics

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## SECTION 6 – RELATED DEFINITIONS PROCEDURES, FORMS, & PUBLICATIONS

### 6.1 Definitions

**Code of Conduct** - The *Code of Conduct* communicates State Fund’s values of honesty and integrity, standards for doing business, and ground rules for ethical behavior.

**State Fund Workforce** - The term ‘State Fund Workforce’ is used herein solely for purposes of describing a collective group of people who work for State Fund, including officers, employees, and non-employees. No employer-employee or agency relationship is intended or created by the use of the term. The use of the term does not alter State Fund’s relationships with consultants or independent contractors.

**Recovery Act Funds** - The American Recovery and Reinvestment Act (Recovery Act) provides federal funds appropriated for distribution to state and local governments to assist in the creation of jobs, jump-start the economy, and build the foundation for long-term economic growth.

### 6.2 Procedures:

EC&F-2.1 PR1 Complaint Reporting and Anti-Retaliation Procedures

EC&F-2.0 PR1 Procedure for Managing Privacy and Confidentiality Breaches

### 6.3 Forms

ADM-105 State of California Bureau of State Audits Whistleblower Compliant Form

### 6.4 Publications

California Whistleblower Program Poster

State Fund’s *Code of Conduct*

## SECTION 7 – HELP & ADVICE

For help and advice regarding this policy, contact the Ethics & Labor Relations department [Ethics@scif.com](mailto:Ethics@scif.com).

## SECTION 8 – REVIEW HISTORY

Review Date	Action Date	Action	Section(s) Revised	Effective Date
1/7/2011	1/7/2011	Final QA <i>Revision to track functional department changes: Ethics &amp; Labor Relations for reporting ethics concerns, Governance for reporting privacy and confidentiality concerns; updated State Fund Workforce definition.</i>	Comprehensive review	3-2011
05/13/2011	05/13/2011		2.1; 2.2; 4; 6; 7	5-2011