

SELFHHELP COMMUNITY SERVICES, INC.		Policy #: 12
CORPORATE COMPLIANCE POLICY AND PROCEDURE MANUAL		Page 1 of 2
Subject: Reports of Suspected Violations	Effective Date November 2005	Revision Date 3/2008,1/2014, 3/2018, 8/2023
Section: Corporate Compliance Reporting		

POLICY:

Selfhelp Community Services, Inc. expects that any employee who suspects that another employee (including a supervisory or managerial employee) or vendor has violated the Code of Conduct, compliance policies, or any other policies, procedures, or applicable state or federal law, will immediately report the suspicion to Manager or Supervisor, and to the Compliance Officer in accordance with *Policy #11 Reporting Guidelines*.

1. The Corporate Compliance Officer notifies the Corporate Compliance Committee of Selfhelp of all reports of suspected violations. Any known violation which is likely to become public will be reported to the Board of Directors immediately.
2. The Compliance Officer shall coordinate an immediate and comprehensive investigation of all suspected violations to ensure the integrity of the organization's compliance with regulatory requirements as well as policies and procedures.
3. Substantiated findings require the development of a plan of correction to be completed under the direction of the Compliance Officer and Program Director, to be reviewed and approved by the Corporate Compliance Committee in accordance with the Corrective Action Plan policy.
4. All findings will be shared with the Corporate Compliance Committee.
5. Substantiated findings will be shared with the Audit Committee and summaries of violations will also be provided.
6. No employee who makes a good faith report of a suspected violation of the Code of Conduct, compliance policies, or who cooperates in an investigation of an alleged violation will suffer any retaliation or reprisal for making the report or cooperating in an investigation. (*See policy #13 Whistleblowers*)
7. All reports of suspected violations will be treated confidentially to the extent permitted by law.

8. All reports of suspected violations made to either a Manager or Supervisor, and/or to the Corporate Compliance Officer, shall be made in good faith and with the best of intentions.
9. Selfhelp considers it a serious violation of policy for personnel to intentionally make false accusations. Such false accusations may result in disciplinary action, up to and including termination, against the accuser.