



## ALTA CALIFORNIA REGIONAL CENTER WHISTLEBLOWER POLICY/PROCESS

Board Approved: September 6, 2011

### **Policy**

Alta California Regional Center (ACRC) encourages individuals to report suspected or actual illegal or improper activity, financial or otherwise. ACRC will not condone any activity that is illegal or improper, whether done by an employee, board member, vendor, or contractor.

*Definition of Regional Center or Vendor/Contractor Whistleblower Complaints:* Regional Center or Vendor/Contractor Whistleblower complaints are defined as the reporting of an “improper Regional Center or Vendor/Contractor activity.”

- An “improper Regional Center activity” means an activity by a Regional Center, or an employee, officer, or board member of a Regional Center, in the conduct of Regional Center business, that is a violation of a state or federal law or regulation; violation of contract provisions; fraud or fiscal malfeasance; misuse of government property; or constitutes gross misconduct, incompetency, or inefficiency.
- An “improper Vendor/Contractor activity” means an activity by a Vendor/Contractor, or an employee, officer, or board member of a Vendor/Contractor, in the provision of DDS-funded services, that is a violation of a state or federal law or regulation; violation of contract provisions; fraud or fiscal malfeasance; misuse of government property; or constitutes gross misconduct, incompetency, or inefficiency.

### *Confidentiality*

Alta California Regional Center will do everything possible to maintain the confidentiality of a complainant making a whistleblower complaint if the complainant requests confidentiality. However, in the circumstance where ACRC is unable to maintain confidentiality due to its statutory responsibilities (including ensuring the health and safety of consumers and Regional Center contract compliance), ACRC will attempt to inform the complainant of its need to disclose certain information prior to releasing identifying information. Additionally, the identity of the complainant may be revealed to appropriate law enforcement agencies conducting a criminal investigation.

*About Filing a Complaint*

ACRC will need a clear and concise written statement of the improper activity and any evidence the complainant has to support the allegation.

If a complainant does not provide their name or other information (witnesses or documents) that clearly identifies the person he/she is alleging has acted improperly, and the Regional Center or Vendor/Contractor where that person works, ACRC may not have sufficient information to investigate. Copies of documents, rather than originals, should be submitted, as they cannot be returned.

Although complaints may be filed anonymously, if insufficient information is provided and ACRC has no means to contact the complainant, ACRC may not be able to investigate the allegations.

Written complaints will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

It is ACRC's intent to adhere to all laws and regulations that apply to the Agency. The underlying purpose of this policy is to support the Agency's goal of legal compliance.

ACRC will not retaliate against any individual who has made a protest or raised a complaint against some practice of ACRC, or of another individual or entity with whom ACRC has a business relationship, on the basis of a reasonable belief that the practice is in violation of law or a clear mandate of public policy. ACRC will not retaliate against an individual who discloses or threatens to disclose to a supervisor or a public body any activity, policy or practice of ACRC that the individual reasonably believes is in violation of a law, policy or regulation, or is in violation of a clear mandate or public policy.

An individual is protected from retaliation if he/she brings the alleged unlawful activity, policy or practice to the attention of ACRC and provides ACRC with a reasonable opportunity to investigate and correct the alleged unlawful activity. Any employee of the Regional Center who knowingly makes a false report will be subject to disciplinary action, up to and including immediate termination of employment.

ACRC will investigate and take appropriate action on any complaints of retaliation.

ACRC shall notify board members, consumers/families and the vendor community of the ACRC and State Whistleblower policy within 30 days of approval of this policy and annually thereafter.

*How to File a Whistleblower Complaint*

A complaint may be filed by contacting:

- Phone
  - 916.978.6510
- Fax
  - 916.978.6221
- US Regular Mail – Primary Address
  - Whistleblower Complaint  
Alta California Regional Center  
Attention: Human Resources Department OR Executive Director  
2135 Butano Drive  
Sacramento, California 95825
- US Regular Mail – Alternate Address
  - Whistleblower Complaint  
Alta California Regional Center  
Attention: Board of Directors  
2135 Butano Drive  
Sacramento, California 95825

**REGIONAL CENTER EMPLOYEE ACKNOWLEDGMENT**

I, \_\_\_\_\_, acknowledge that I have  
(Print Name)  
received a copy of, read and understand Alta California Regional Center's  
Whistleblower Policy/Process.

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date