

Policy on Reporting Unethical or Illegal Conduct

Policy Title	Policy on Reporting Unethical or Illegal Conduct
Policy Owner	President
Policy Section	Governance, Ethics, and General Policies
Responsible Office	Office of the General Counsel and Compliance
Contact Information	Questions about Policy content should be directed to the Office of the General Counsel and Compliance
Pertinent Dates	This Policy originated on October 23, 2009 and was revised August 5, 2020
Entities Affected	All units of the University
Who Needs to Know About This Policy	All members of the AUC community
Related Information	
Abstract	This Policy details procedures for reporting and investigating allegedly unethical or illegal conduct and describes the protections afforded under this Policy.

I. SCOPE OF POLICY

This Policy on Reporting Unethical or Illegal Conduct (the “Policy”) covers reports made regarding allegedly illegal or unethical conduct by persons associated with the American University in Cairo (“AUC”). Issues arising under AUC’s equal employment opportunity policies, including policies against harassment, employee benefit policies, and issues generally handled by individuals responsible for AUC’s personnel practices and procedures, are not covered by this Policy. Mechanisms for resolving such issues are addressed in separate procedures.

II. DEFINITIONS

There are no definitions applicable to this Policy.

III. POLICY STATEMENT

As stewards of the public trust, all trustees, officers, employees, and volunteers of AUC are expected to ensure that AUC complies with high standards in financial accounting and reporting, and engages in lawful and ethical behavior. This Policy is intended to remind trustees, officers, employees, and volunteers of this expectation, to encourage all to report to management any concerns about possible violations, to lay out procedures for reporting and investigating allegedly unethical or illegal conduct, and to describe the protections afforded under this Policy.

The Board of Trustees of AUC (the “Board”) will oversee this Policy. The Board designates the President of AUC (the “President”), under the direction of the Audit Committee of AUC, to implement this Policy on its behalf.

This Policy must be distributed to all trustees, officers, and employees of AUC, and to volunteers who provide substantial services to AUC.

IV. POLICY STANDARDS AND PROCEDURES

A. Reports

If any trustee, officer, employee, or volunteer knows or has a reasonable belief that persons associated with AUC have engaged or plan to engage in illegal or unethical conduct, that person is expected to file a report, provided that conduct governed by other policies and procedures of AUC (such as personnel-related policies) should be reported pursuant to those policies and procedures. Please see the “Scope of Policy” section above.

Where applicable, individuals are encouraged to discuss concerns with their supervisors prior to filing a report, unless the report pertains to such supervisors. Additionally, individuals are encouraged to provide as much information as possible to permit a thorough and complete investigation of the report.

B. Procedures for Filing Reports

1. Reports may be made on a confidential basis through the AUC Ethics HelpLine, or provided orally or in writing, giving as much detail as possible, to the Senior Director of Compliance (the “SDC”), the General Counsel (the “GC”) or designee, or, if the report concerns any individual from the Office of the General Counsel, to the President or designee. If the report is received orally or in written format, rather than through the AUC Ethics HelpLine, the SDC or designee will file it in the system.

Any person who receives an oral or written communication regarding illegal or unethical conduct pursuant to this Policy must promptly inform the SDC, GC, President, or designee.

2. Handling of Reports Received

- All reports will be acknowledged promptly by the individual receiving the report.
- The report will be reviewed, possibly with counsel, and investigative action will be undertaken, where appropriate, as promptly as possible.
- The GC, the President, or designee, as applicable, will communicate each report to the Chair of the Audit Committee.
- The GC, the President, or designee, as applicable and appropriate and in consultation with the Chair of the Audit Committee, will decide on further actions to be taken, including additional investigation and/or recommendations to the Audit Committee with respect to legal or disciplinary action.
- The GC or designee will send summaries of reports received to the Audit Committee as the Chair of the Audit Committee determines to be appropriate. These summaries will include the date and nature of each report, as well as a description of the conduct and status of any investigation and any recommendations to address the report.
- Records of all reports will be maintained for four years.

C. Action on Reports

AUC will take appropriate action in response to any reports, including disciplinary action (up to and including termination of employment) against any person who, in AUC’s assessment, has engaged in unethical conduct or misconduct and, where appropriate, report such misconduct to the relevant civil or criminal authorities.

D. Protection Under Policy

No trustee, officer, employee, or volunteer who, in good faith, reports any action or suspected action taken by or within AUC that is illegal, fraudulent, or in violation of any adopted policy of AUC shall suffer intimidation, harassment, discrimination, or other retaliation or, in the case of employees, adverse employment consequences.

Any trustee, officer, employee, or volunteer who retaliates against another for making a report in good faith pursuant to this Policy will be subject to disciplinary action, up to and including termination from employment or removal from office or from the Board. Any trustee, officer, employee, or volunteer who deliberately or maliciously provides false information may be subject to disciplinary action, up to and including termination of employment or removal from office or from the Board.

E. Confidentiality

In conducting its investigations and in reporting reports, AUC will strive to keep as confidential as possible and practicable the identity of any reporting individual or any individual who provides information during an investigation, except as required by law or in light of the need to conduct a thorough investigation.

F. No Contract

This Policy does not create a promise or contract by AUC, and it may be amended at any time without prior notification. Employment at AUC is at-will and nothing in this Policy should be interpreted as in any way limiting such at-will relationship.