	POLICY AND PROCEDURE MEMO			NO. 2.011 DATE: 10-18-13 Approved
	SUBJECT:	COMPLIANCE HOTLINE REPORTING POLICY		9-27-21 Revised
			CITY	MANAGER
I.	STATEN	<u>1ENT</u> :		

The City of Rochester is committed to high standards of ethical, moral and legal conduct. In line with this commitment, and the City's commitment to open communication, this policy aims to provide an avenue for employees to raise concerns and provide assurance that they will be protected from reprisals or victimization for making good faith reports alleging improper or wrongful activity, such as:

- Discrimination or harassment;
- Unlawful activity;
- Fraud;
- Unethical or unprofessional business conduct;
- Noncompliance with City policies/procedures;
- Circumstances of substantial, specific or imminent danger to an employee or the public's health and/or safety;
- Violations of local, state or federal laws and regulations; or
- Other illegal or improper practices or policies.

II. <u>POLICY</u>

- 1. All employees are responsible for promptly reporting actual or potential wrongdoing, including an actual or potential violation of law, regulation, policy, or procedure.
- 2. All employees who, in good faith, report such incidents as described above will be protected from retaliation (defined as an adverse action taken because an individual has engaged in protected activities), threats of retaliation, discharge, or other discrimination.

cuSign Envelope ID: C95FDA6D-814B-473D-BAEB-F400BCA758FE						
NOGTI STER		LICY AND PROCEDURE MEMO	NO. 2.011 DATE: 10-18-13 Approved 9-27-21 Revised DocuSigned by: Blaine (pp CITY MANAGER			
<u>.</u> .	3	. No employee may be adversely affected because they refused directive which constitutes fraud or is a violation of local, state other applicable laws and regulations.	to carry out a			
III.	. <u>P</u>	ROCEDURE				
 Knowledge of actual or potential wrongdoing, misconduct, or violations must be reported immediately to management, the <i>Compliance Officer</i>, by calling the Compliance Hotline at 603-509-1905 or you may report online at <u>Compliance@RochesterNH.net</u>. 						
	2.	All managers must maintain an open-door policy and take agg measures to assure their staff that they system truly encourage of improper or wrongful activity and that there will be no reta retribution, or harassment for doing so.	es the reporting			
	3.	If employees have concerns, they should be addressed in the f	ollowing order:			
		a. Immediate supervisor;	0			
		b. Department Head/Director;				
		 bepartment Head/Director, c. If an employee feels uncomfortable with the above, the should report concerns directly to the Compliance Offic the Compliance Hotline at 603-509-1905 or report on Compliance@RochesterNH.net. 	icer, by calling			
	4.	A Compliance Intake Form will be completed for all reports of Hotline and will include all pertinent information such as: date call), name of caller (if provided), the names of the persons or involved, a detailed description of the suspected violation, who documentation to support the allegation.	of report (or departments			
	5.	All concerns will be investigated within 30 days.				
	6.	The Compliance Officer will review every report and keep a derecord of all reports received. For each report, a record of each and each action initiated will be kept. All reports will be kept f six (6) years.	decision made			

ROCHESTER	POLICY AND PROCEDURE MEMO	NO. 2.011 DATE: 10-18-13 Approved					
	SUBJECT: COMPLIANCE HOTLINE REPORTING POLICY	9-27-21 Revised Blaine (or Blaine (or					
		CITY MANAGER					
 Confidentiality regarding employee concerns will be maintained at all times insofar as legal and practical, informing only those personnel who have a need to know. 							
	 At the conclusion of the investigation, the Compliance Officer will document on the Compliance Intake Form all findings, corrective action, disciplinary action taken, education provided, etc. 						
IV	ANONYMOUS ALLEGATIONS						
	This policy encourages employees to put their names to allegations because appropriate follow-up questions and investigation may not be possible unless the source of the information is identified. Concerns expressed anonymously will be explored appropriately, but consideration will be given to:						
	• The seriousness of the issue raised;						
	• The credibility of the concern; and						
	• The likelihood of confirming the allegation from attributable sources.						
V.	BAD FAITH ALLEGATIONS						
	Allegations in bad faith may result in disciplinary action.						
-END OF PROCEDURE-							
		3					



Ethics & Compliance Program Compliance Intake Form

Date:	Name of caller:		_
Person/Dept. Involved:		÷.	
Detailed Description of suspected	violation:		
			_
			_
Action Taken:			_
			_
Follow-up Date:			_
Follow-up Action:			_
			_
			_
			_
Findings/Resolution:			_
			_
	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1		_
Report Made by:	Date	:	

Something wrong at work? Have you witnessed fraud or abuse by a co-worker?

Not sure what to do or who to call? 603-509-1905

Ethics & Compliance Helpline

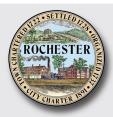
(*This line is unattended; you will be prompted to leave a voice message or you may email Compliance@RochesterNH.net with your concerns)

Easy and confidential 24/7 access

Report actual or potential wrongdoing, including an actual or potential violation of law, regulation, policy or procedure

We assure that:

Confidentiality will be respected. There will be no retaliation, retribution, or harrassment for reporting any wrongdoing.



call

City of Rochester, 31 Wakefield Street, Rochester, NH 03867 Ethics & Compliance Program Ph: 603-509-1905 www.RochesterNH.net email: Compliance@RochesterNH.net