

		<h1>CORPORATE POLICY</h1>	Number: EC&F 2.1 Owner: Corporate Human Resources Type: Ethics, Compliance & Fraud Effective Date: 09/2021
Title COMPLAINT REPORTING & ANTI-RETALIATION			

SECTION 1: PURPOSE

- To provide the framework for [State Fund Workforce Members \(Members\)](#) to report ethics or business conduct concerns and complaints.
- To guarantee rights of and protect members from retaliation for making such reports.

SECTION 2: POLICY STATEMENTS

2.1 Reporting Promoted

State Fund encourages you to raise and report your ethical concerns and complaints.

2.2 Impartial Review and Investigation

State Fund will:

- Timely address reports made.
- Investigate complaints in a thorough, impartial, and timely manner.

2.3 Duty to Report Ethics Concerns and Complaints

- You have the duty to report, in good faith, any ethical concern or suspected improper activity. Reports may include when someone fails to follow the [Code of Conduct](#) or our corporate policies.
- You have the duty to certify electronically that you read and understood this policy as part of our Code of Conduct acknowledgement process. Failure to complete your obligation may result in referral for disciplinary action up to and including termination.

2.4 Protection against [Retaliation](#)

- State Fund prohibits management and Workforce members from retaliating against or attempting to improperly [use their official authority](#) to influence anyone who reports, in good faith, ethics, privacy, business conduct, fraud, waste, abuse of authority, or similar concerns.
- The California Whistleblower Protection Act prohibits retaliation for:
 - Good faith reporting of improper governmental activity or a condition that may significantly threaten the health or safety of employees or the public.
 - Refusal to obey an illegal directive.

2.5 Reporting Ethics Concerns and Complaints

• 2.5.1 Reports to State Fund:

You may report ethics concerns and complaints to State Fund by:

- Calling the toll-free 24-hour Hotline **888-254-4301**
- Accessing the hotline via Internet using either:
ethicsandprivacyhotline.mycompliancereport.com or
<https://app.mycompliancereport.com/report?cid=SCIF>
- Telling management verbally or in writing.

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- Using AskAdmin

2.5.2 Reports to California State Auditor

You may report ethics concerns related to State Fund Officers or Workforce Members to the California State Auditor by:

- Calling the California State Auditor Whistleblower Hotline 800-952-5665.
- Mailing a report: California State Auditor, Bureau of State Audits
555 Capitol Mall, Suite 300
Sacramento, CA 95814.
- Using the State Auditor's web site: www.bsa.ca.gov

Reportable improper activities include:

- Theft
- Fraud
- Conflicts of interest
- Misuse, abuse, or any behavior wasteful of state property or Member time
- Gross misconduct, incompetence, or inefficiency

2.6 Reporting Retaliation

You may report actual or attempted retaliation to:

- Your supervisor or manager, verbally or in writing.
- To Employees Relations via AskAdmin
- Through available hotlines as above.
- In writing to: California State Personnel Board
801 Capitol Mall, MS #22
Sacramento, CA 95814.

2.7 Anonymity

- You may report anonymously to State Fund's Toll-Free Hotline or the California State Auditor's Whistleblower Hotline.
- If you report anonymously, State Fund does not obtain your identity.
- For full investigation and remediation of reports, you may need to disclose your identity.

SECTION 3: APPLICABILITY, SCOPE, & BASIS

The policy applies to [State Fund Workforce Members](#).

3.1 Related Laws and Regulations

Cal. Govt. Code

§§ 8547 *et seq.*, California Whistleblower Protection Act

§§ [19682-19683.5](#), Retaliation

California Code of Regulations [2 CCR §§ 67.1 et seq.](#), Whistleblower Retaliation Complaint Process.

Cal. Labor Code 1102.5: Employee's right to disclose information to government or law enforcement agency; Employer prohibited from retaliation; Civil penalty; Confidential communications.

SECTION 4: AUTHORITY

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The Executive Vice President & Chief Administrative Officer carries out policy oversight and assurance. The Corporate Human Resources Program Manager as policy owner carries out policy compliance, updates, and monitoring.

SECTION 5: RELATED CORPORATE POLICIES

- EC&F 2.0 Privacy & Confidentiality
- EC&F 2.2 Incompatible Activities
- EC&F 2.3 Business Ethics
- E&F 2.5 Copyright & Intellectual Property
- HR 4.1 Equal Employment Opportunity
- HR 4.3 Sexual Harassment Prevention

Related Corporate Policies can be found in Corporate Policy Library.

SECTION 6: DEFINITIONS

Code of Conduct: Document that provides State Fund’s values and standards for doing business and ethical behavior.

Retaliation: Negative acts or unwelcome changes in a person’s job due to voicing or filing a complaint or a family member voicing or filing a complaint, assisting with filing a complaint, taking part in a complaint investigation, or asking for reasonable accommodation for medical or religious reasons.

State Fund Workforce: Collective group of people who work for State Fund, including officers, employees, and non-employees. Use of the term does not intend or create an employer-employee or agency relationship. The term’s use has no impact on State Fund’s relationships with consultants or independent contractors.

Use of Official Authority or Influence: Includes:

- Giving or promising to give any benefit; or
- Taking, threatening to take, or directing others to take any personnel action.

SECTION 7: HELP & ADVICE

For questions, contact AskAdmin.

SECTION 8: REVIEW HISTORY

Review Date	Action Date	Action	Section(s) Revised	Effective Date
05/13/2011	05/13/2011	Final QA	2.1; 2.2; 4; 6; 7	05/2011
4/30/2012	4/30/2012	Annual Review; Added definitions for retaliation and Use of Official Authority	2.2 (all); 6	7/2012
02/28/2013	02/28/2013	Annual Review added online hotline reporting and revised compliance notice	2.2.1 & 3	03/2013



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03/17/2016	03/17/2016	Policy Owner Review/Approval	6	11/2016
9/23/16	9/23/16	Executive Approval	6	11/2016
07/2017	07/2017	Link updated	3.1	01/2017
07/31/2017	07/31/2017	Link Refresh	Sections 5 & 7	01/2017
02/10/2020	02/10/2020	Link Refresh	2.5.1, 2.5.2, 3.1, 5	01/2017
03/05/2020	03/05/2020	Biennial Review and Approval	2.5.1, 2.6, 7	03/2020
10/09/2020	10/09/2020	Link Refresh	Section 2	03/2020
09/22/2021	09/29/2021	Update hotline number, website link, and corporate policy library link	2.5, 5	09/2021