

Policy Category: 1 (General & Administrative)
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Approval Date: October 26, 2017
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Status: Interim Policy



Whistleblower Policy

This Whistleblower Policy of the Unified Carrier Registration Plan (“UCR”): (1) encourages individuals to come forward with credible information on illegal practices or serious violations of adopted policies of the UCR; (2) specifies that the UCR will protect the person from retaliation; and (3) identifies where such information can be reported.

1. Encouragement of reporting. The UCR encourages complaints, reports or inquiries about illegal practices or serious violations of the UCR policies, including illegal or improper conduct by the organization itself, by its leadership, or by others on its behalf. Appropriate subjects to raise under this policy would include financial improprieties, accounting or audit matters, ethical violations, or other similar illegal or improper acts, practices or policies.

Other subjects on which the UCR has existing complaint mechanisms should be addressed under those mechanisms, such as raising matters of alleged discrimination or harassment via the UCR’s Board of Directors, unless those channels are themselves implicated in the wrongdoing.

This policy is not intended to provide a means of appeal from outcomes in those other mechanisms.

2. Protection from retaliation. The UCR prohibits retaliation by, or on behalf of, the UCR against individuals for making good faith complaints, reports or inquiries under this policy or for participating in a review or investigation under this policy. This protection extends to those whose allegations are made in good faith but prove to be mistaken. The UCR reserves the right to take appropriate actions against persons who make bad faith, knowingly false, or vexatious complaints, reports or inquiries or who otherwise abuse this policy.

3. Where to report. Complaints, reports or inquiries may be made under this policy on a confidential or anonymous basis. They should describe in detail the specific facts demonstrating the bases for the complaints, reports or inquiries. They should be directed to the UCR Chairperson of the Board of Directors or another appropriate officer or director of the UCR.

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When those persons are implicated in the complaint, report or inquiry, the disclosure should be directed to a qualified source within a Federal or State agency, the Administrative management firm of the UCR or the reporting person(s) legal advisor. The UCR will conduct a prompt, discreet, and objective review or investigation. Individuals must recognize that the UCR may be unable to fully evaluate a vague or general complaint, report or inquiry that is made anonymously.