

Cave Research Foundation Compliance Officer

The position of Compliance Officer (CO) was created in 2014 and expanded in 2024. The CO's primary responsibility is receiving and reviewing complaints of ethical or conduct violations that are unable to be resolved by the appropriate Operations Manager.

The CO will not be a current Director, Officer, or Operations Manager. The CO does not have a vote on any motion before the board. Further, the CO will not be expected to attend board meetings nor be included on the electronic mailing list or other communications of the board. The CO should be a person the board feels will be independent, fair, and impartial.

Joint Venturers (JVs) should first bring complaints of ethical or conduct violations directly to the Operations Manager involved. Operations Managers should be able to resolve the issue to the JV's satisfaction. If that fails, then the JV can bring the complaint to the Compliance Officer (CO).

If the JV has a complaint against the Operations Manager and feels that he/she can't speak directly to the Operations Manager, then the JV can bring the complaint directly to the CO.

The CO shall judge the merit of the complaint and reply to the JV filing the complaint in a timely manner (within two weeks.)

If the complaint is significant (involving group management issues including: mismanagement of funds, poor communication, or individual management issues including any form of discrimination or harassment), then the CO shall gather information about the complaint and attempt to mediate. If the complaint is felt to be minor and not affect CRF operations nor create an unwelcoming environment for JV's, then the CO shall tell the JV who contacted the CO the reason the CO will not intervene. If the JV with the complaint is not satisfied with the CO's conclusion, then the JV can appeal that decision to the CRF Board of Directors.

For complaints with merit, the CO shall request information from all parties involved and keep these records for this single issue. This includes electronic or paper correspondence, recorded copies of virtual meetings and notes on phone conversations. The Operations Manager in question and the JV shall deliver pertinent material to the CO within 2 weeks of a request by the CO, unless the parties involved are otherwise unavailable and will inform the CO that they need an extension for a reasonable amount of time.

The CO is not expected to travel for attempting to resolve the issue, nor is there any funding for the position. Failure to supply pertinent materials will have the CO inform the President. These records will be kept by the CO in a safe place and will only be available to the Secretary for permanent storage and to the President.

If mediation fails, the CO will bring the issue to the board along with all documentation concerning this issue.

All information about complaints will be sent to the Secretary to be securely archived.

Prepared on November 18, 2024