

	<b>POLICY &amp; PROCEDURE</b>	<b>POLICY OR PROCEDURE NUMBER:</b>  840
	<b>Subject:</b> <b>WHISTLE BLOWER PROTECTION</b>	<b>EFFECTIVE DATE:</b> <b>09/24/2014</b> <b>R 6-15-2022</b>

## I. GENERAL ABSTRACT

Arizona Swimming (“AZSI”) must always avoid any retaliation against whistleblowers when they come forward with complaints. There are both state and federal laws, including the Sarbanes-Oxley Act of 2002, that protect whistleblowers from retaliation by their companies and employers.

If an organization engages in retaliation against a whistleblower that complains of fraud, illegal activities or other wrongful dealings in the workplace, you are risking a lawsuit brought by the worker. In addition, you could face criminal prosecution if the circumstances are correct.

## II. WHISTLE BLOWER PROTECTION

Arizona Swimming forbids any form of retaliation against individuals for providing truthful information to law enforcement officials related to actual or potential unlawful conduct. With the intent and goal of prohibiting retaliation or retribution as a result of action by whistleblower action,

A. The AZSI Audit Committee will establish procedures for handling complaints, including anonymous ones, regarding accounting and/or financial matters.

i. The Audit Committee shall annually review these procedures and make any changes necessary to the procedure.

1. Such changes shall be sent to the AZSI Office and General Chair of AZSI for implementation with-in two weeks of adoption by the Audit Committee

B. The General Chair shall appoint a committee of three to establish procedures for handling complaints, including anonymous ones, for matters other than financial or accounting matters.

i. The committee shall be composed of the Admin-Vice Chair, who will serve as chair, one other member and one athlete member.

1. All members must be members in good standing of USA / Arizona Swimming.

- ii The committee shall annually review these procedures and make any changes necessary to the procedure.
  - 1. Such changes shall be sent to the AZSI Office and General Chair of AZSI for implementation with-in two weeks of adoption by the Committee
- C. If for some reason, the procedure as developed above, whether because of conflicts of interest, either actual or perceived, is deemed ineffective; the matter shall be referred to the Executive Committee of the Board of Directors with the goal of protecting the whistleblower from retaliation or punishment.

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**Updates:**

<b>Date</b>	<b>by Whom</b>	<b>Basic Abstract</b>	<b>Sections</b>	<b>Control #</b>
09/24/14	BofD	Whistleblower policy	All	14-17
6-15-22	BOD	Housekeeping	All	22-016