



## **USATT Ethics Policies – General Principles**

The following General Principles are hereby incorporated into and made a part of each Code of Conduct and Code of Ethics (collectively “Codes”) promulgated by USATT.

### **Organizational Expectations**

Persons covered by any Code of Conduct are expected to conduct themselves in a manner that does not violate any conduct proscribed by the applicable Code of Conduct as well as:

- All state and local laws,
- All federal laws
- The Ted Stevens Olympic and Amateur Sports Act
- All rules, policies and procedures of USATT and the USOPC
- The Olympic Movement Code on the Prevention of Manipulation of Competitions

### **Resolution**

Allegations concerning allegations of the violation of any Code of Conduct are resolved through the Ethics Committee in accordance with procedures promulgated by the Ethics Committee

### **Policy Owner**

Except as the procedural rules of the Ethics and Grievance Committee may otherwise require, these General Principles are administered under the direction of the Ethics and Grievance Committee and the USATT Compliance Officer (Mark Thompson, [Mark.Thompson@usatt.org](mailto:Mark.Thompson@usatt.org).)

### **Whistleblower Policy**

USATT’s various Codes of Conduct (collectively “Codes”) require all participants in USATT activities to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As members of USATT, it is vital that such participants reflect honesty and integrity in fulfilling their responsibilities and comply with all applicable laws and regulations. Specifically, the Codes require compliance with the Ted Stevens Olympic and Amateur Sports Act, the USOPC Bylaws, all USATT policies and procedures, and state and federal laws.

It is the responsibility of all members and those who serve USATT (including athletes, Board members, Committee members, task force members, volunteers, hearing panel members and others) to comply with the Codes and to report violations or suspected violations in accordance with this Whistleblower Policy. [The Whistleblower Policy also applies to employees as set out in the Employment Manual.]

The Codes support the organization’s open-door policy and suggests that members share their questions, concerns, suggestions or complaints with someone who can address them properly. In most cases, the best initial contact is the USATT Compliance Officer ([Mark.Thompson@USATT.org](mailto:Mark.Thompson@USATT.org)). The Compliance Officer has specific and exclusive responsibility to investigate all reported violations. For suspected fraud, or when you are not satisfied or uncomfortable with following USATT’s reporting policies, individuals should contact the Chair of the USATT Board of Directors, who will determine the most effective method of managing the complaint.

The organization's Compliance Officer is responsible for managing the investigation and resolution of all reported complaints and allegations concerning violations of the Code in accordance with USATT Policies, and, at his/her discretion, to advise the Chair of the Board of Directors. The Compliance Officer also has direct access to the audit committee of the board of directors and is required to report to the audit committee at least annually on compliance activity.

Anyone filing a complaint concerning a violation or suspected violation of the Codes must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of the Code. Any allegations that prove not to be substantiated, and which prove to have been made maliciously or knowingly to be false, will be viewed as a serious disciplinary offense.

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

The Compliance Officer will notify the sender and acknowledge receipt of the reported violation or suspected violation. All reports will be promptly investigated, and appropriate corrective action will be taken if warranted by the investigation.

### **Anti-Retaliation**

No individual who in good faith reports a violation of the Codes shall suffer harassment, retaliation or other adverse consequences. An individual who retaliates against someone who, in good faith, has reported or provided evidence related to a violation in good faith is subject to discipline up to and including termination of membership. This Whistleblower Policy is intended to encourage and enable members and others to raise serious concerns within USATT prior to seeking resolution outside the organization.

**End. 22 02-17a**