

ACA WORLD SERVICE ORGANIZATION
POLICY ON REPORTING AND INVESTIGATING ALLEGATIONS OF SUSPECTED
IMPROPER ACTIVITIES (WHISTLEBLOWER POLICY)

General

This policy requires board members, committee members, delegates, and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and volunteer representatives of the Adult Children of Alcoholics/Dysfunctional Families World Service Organization, hereinafter the "Organization," we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations. The Organization provides information on business and personal ethics for employees in the Employee Handbook and the Operating Policies and Procedures Manual (OPPM). Information on business and personal ethics for volunteers is found in the Service Norms, Traditions and OPPM. Collectively this information is known as the Code of Ethics and further referred to in this document as the "Code."

Reporting Responsibility

It is the responsibility of all board members, committee members, delegates, and employees to comply with the Code and to report violations or suspected violations in accordance with this Whistleblower Policy.

No Retaliation

No board member, committee member, delegate, or employee who in good faith reports a violation of the Code shall suffer harassment, retaliation, or adverse employment consequences. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. A volunteer who retaliates against someone who has reported a violation in good faith is subject to suspension from the Organization's activities. This Whistleblower Policy is intended to encourage and enable employees and the Organization's volunteers to raise serious concerns within the Organization prior to seeking resolution outside the Organization.

Reporting Violations

The Code addresses the Organization's open-door policy and suggests that employees and volunteers share their questions, concerns, suggestions, or complaints with someone who can address them properly. For example, an employee's supervisor is in the best position to address an area of concern or, in the case of volunteers, the Committee Chair. However, if you are not comfortable speaking with your supervisor/Committee Chair or you are not satisfied with this person's response, you are encouraged to speak with someone in management or a Board Member whom you are comfortable approaching. Supervisors, Managers and Committee Chairs are required to report suspected major violations of the Code to the Executive Committee of the World Service Organization Board via the Secretary at secretary@acawso.org, who has specific and exclusive responsibility to investigate all reported violations. For suspected

fraud, or when you are not satisfied or uncomfortable with following the Organization's open-door policy, individuals should contact the Executive Committee directly.

If you have information regarding possible violations of state or federal statutes, rules, or regulations, or violations of fiduciary responsibility by the Organization, we encourage you to report it immediately to the Secretary of the Board. Alternatively, you may contact the California State Attorney General's Whistleblower Hotline at (800) 952-5225. The Attorney General will refer your call to the appropriate government authority for review and possible investigation.

Executive Committee

The Executive Committee is responsible for investigating and resolving all reported complaints and allegations concerning violations of the Code and, at their discretion, shall include the General Manager.

Accounting and Auditing Matters

The Executive Committee shall address all reported concerns or complaints regarding accounting practices, internal controls, or auditing. Management shall immediately notify the Executive Committee of any such complaint and work with the committee until the matter is resolved. The Executive Committee may require the Audit Committee to handle the investigation.

Acting in Good Faith

Anyone filing a complaint concerning a violation or suspected violation of the Code 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 to have been made maliciously or knowingly to be false and prove not to be substantiated will be viewed as a serious disciplinary offense.

Confidentiality

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 a thorough investigation.

Handling of Reported Violations

The Executive Committee will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. All reports will be investigated as promptly as resources allow, however in any case no longer than 4 months, and appropriate corrective action will be taken if warranted by the investigation.

[Document Development/Approval:

- *Drafted by the General Manager based on CA non-profit samples.*

- *Online collaboration/review by Board Members and Committee Chairs completed on April 18, 2024.*
- *Legal review completed on April 23, 2024 (W:\Working\01450\01\W0658826.DOCX)*
- *Adopted by the ACA WSO Board of Trustees on May 8, 2024.]*