

Whistleblower Protection Policy

In keeping with the International Legal Technology Association's (ILTA's) policy of maintaining the highest standards of conduct and ethics, the association will investigate any suspected fraudulent or dishonest use or misuse of ILTA's resources or property by staff, Board members, volunteers, members, contractors, sponsors or agents. Suspected fraudulent or dishonest conduct should be reported as set forth below.

REPORTING

A person's concerns about possible fraudulent or dishonest use or misuse of resources or property should be reported to his or her supervisor; or, if suspected by a non-employee, to the staff member supporting the individual's work. If, for any reason, a person finds it difficult to report his or her concerns to a supervisor or staff member supporting the individual's work, the person may report the concerns directly to the executive director. To facilitate reporting of suspected violations where the reporter wishes to remain anonymous, a written statement may be submitted to one of the individuals listed above.

DEFINITIONS

Baseless Allegations: Allegations made with reckless disregard for their truth or falsity or allegations that were made maliciously or not in good faith. Individuals making such allegations may be subject to disciplinary action by ILTA and/or legal claims by individuals accused of such conduct.

Fraudulent or Dishonest Conduct: A deliberate act or failure to act with the intention of obtaining an unauthorized benefit. A non-exhaustive list of examples of such conduct include the following:

- Forgery or alteration of documents
- Unauthorized alteration or manipulation of electronic records
- Pursuit of a benefit or advantage in violation of ILTA's conflict-of-interest policy
- Misappropriation or misuse of ILTA's resources, such as funds, supplies or other assets
- Authorizing or receiving compensation for goods not received or services not performed, or paying for services or goods that are not rendered or delivered
- Authorizing or receiving compensation for hours not worked
- Supplying false or misleading information on ILTA's financial or other public documents, including its Form 990 (annual federal tax filing)
- Providing false information to or withholding material information from ILTA's Board or auditors
- Destroying, altering, mutilating, concealing, covering up, falsifying or making a false entry in any records that may be connected to an official proceeding, in violation of federal or state law or regulations or otherwise obstructing, influencing, or impeding any official proceeding, in violation of federal or state law or regulations
- Embezzling, self-dealing or otherwise obtaining an unlawful private benefit (using ILTA's assets for personal gain)

Whistleblower: An individual who informs a supervisor or the executive director about an activity relating to ILTA which that person believes to be fraudulent or dishonest.

RESPONSIBILITIES AND INVESTIGATIONS

Supervisors are required to report suspected fraudulent or dishonest conduct to the executive director. Reasonable care should be taken in dealing with suspected misconduct to avoid baseless allegations, premature notice to persons suspected of misconduct and/or disclosure of

suspected misconduct to others not involved with the investigation, and violations of a person's rights under law.

Due to the important yet sensitive nature of the suspected violations, effective professional follow-up is critical. Supervisors should not perform any investigative or other follow-up steps on their own. Accordingly, a supervisor who becomes aware of suspected misconduct should report it to the executive director, but **should not**, without prior permission, take steps on his or her own to do any of the following:

- Contact the person suspected to further investigate the matter or demand restitution
- Discuss the case with attorneys, the media, or anyone other than the executive director
- Report the case to an authorized law enforcement officer without first discussing the case with the executive director

All relevant matters, including suspected but unproved matters, will be reviewed and analyzed by an appropriate person designated by the president or executive director. This may include an investigation by legal counsel and/or accountants in some instances. All investigations will be kept confidential. Appropriate corrective action will be taken, if necessary, and findings will be communicated to the reporting person and his or her supervisor.

WHISTLEBLOWER PROTECTION

ILTA will make every effort to protect whistleblowers against retaliation. Whistleblowing complaints will be handled with sensitivity, discretion and confidentiality to the extent allowed by the circumstances and the law. Generally, this means that whistleblower complaints will only be shared with those who have a need to know so that ILTA can conduct an effective investigation, determine what action to take based on the results of any such investigation, and, in appropriate cases, with law enforcement personnel. Should disciplinary or legal action be taken against a person or persons as a result of a whistleblower complaint, such persons may also have the right to know the identity of the whistleblower.

Staff, Board members, volunteers, members, contractors, sponsors or agents of ILTA may not retaliate against a whistleblower for informing management about an activity which that person believes in good faith to be fraudulent or dishonest with the intent or effect of adversely affecting the terms or conditions of the whistleblower's employment, including but not limited to, threats of physical harm, loss of job, punitive work assignments or impact on salary or fees.

Whistleblowers who believe they have been retaliated against may file a written complaint with the executive director. Any complaint of retaliation will be promptly investigated and appropriate corrective measures taken if allegations of retaliation are substantiated. This protection from retaliation is not intended to prohibit supervisors from taking action, including disciplinary action, in the usual scope of their duties and based on valid performance-related factors.

Whistleblowers must be cautious to avoid baseless allegations (as described earlier in the definitions section of this policy). Allegations that are baseless and not made in good faith may result in disciplinary action.