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USA Baseball Code of Conduct Policy

Policy Name: Code of Conduct Policy

Date of Issuance: 11/29/2021

Policy Owner: Ethics Committee (Chair – George Grande; ethics@usabaseball.com)

Key Contacts: USA Baseball’s outside Legal Counsel (Karen Gaunt; Karen.Gaunt@dinsmore.com / 513-977-8503) and USA Baseball’s Senior Director of Education and Athlete Safety, Lauren Rhyne (laurenrhyne@usabaseball.com / 919-474-8721 x 211)

Applies to: USA Baseball Employees, Members, BOD, Committee Members, Officers, Athletes, National Team Coaches, and Contractors

Purpose: To define the tenets by which the people who work for, or on behalf of, USA Baseball shall conduct themselves consistent with USA Baseball’s mission and core values.

Policy Statement:

1. Introduction

The United States Olympic & Paralympic Committee (“USOPC”) supports United States Olympic and Paralympic athletes in achieving sustained competitive excellence and preserving the Olympic ideals, and thereby inspiring Americans. The USOPC accomplishes this mission through its commitment to:

Honesty, integrity, and trustworthiness in all dealings.
Respect for the rights, differences, and dignity of others.
Accountability and transparency.
Stewardship of the Olympic Movement.

USA Baseball has adopted this Code of Conduct to support these values and with the expectation that the people who work for, or on behalf of, USA Baseball conduct themselves consistent with USA Baseball’s and the USOPC’s mission, these core values, rules, policies and procedures, in accordance with state or country laws as applicable.

2. Applicability

This Code of Conduct applies to all USA Baseball Employees, Members, Board of Directors, Committee Members, Officers, Athletes, National Team Coaches, and Contractors.

3. Reporting Obligations

No code of conduct can address every situation, nor can it take the place of good judgment and integrity. USA Baseball maintains an “open door” for anyone who has questions or concerns. USA Baseball will support all efforts to comply with this Code of Conduct. If you need advice or assistance concerning the application of any aspect of these standards, consult your supervisor or manager, or the Ethics Committee



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or USA Baseball's outside Legal Counsel. You are expected to seek advice and clarification promptly when you are uncertain about proper actions or practices.

You should be alert and sensitive to situations that could result in unethical, illegal or improper actions. You have an obligation to report potential or actual violations of this Code of Conduct to your supervisor or manager, or the Ethics Committee, or USA Baseball's outside Legal Counsel, or any other designated reporting authority identified by USA Baseball.

Under no circumstances will an individual be subject to any disciplinary or retaliatory action for filing, in good faith, a report of a violation or potential violation of the Code of Conduct. However, filing known false or malicious reports will not be tolerated, and anyone filing such reports will be subject to appropriate disciplinary action. "Retaliation" as defined by the Act means any adverse or discriminatory action, or threat of an adverse or discriminatory action, including removal from a training facility, reduced coaching or training, reduced meals or housing, and removal from competition, carried out against a protected individual as a result of any communication, including the filing of a formal complaint, by the protected individual relating to the allegation of physical abuse, sexual harassment, or emotional abuse, with the United States Center for SafeSport; a coach, trainer, manager, administrator, or official associated with the USOPC, the United States Attorney General; a federal or state law enforcement authority; the Equal Opportunity Employment Commission; or Congress. Retaliation also refers to any adverse or discriminatory action, or the threat of an adverse or discriminatory action, against any person who in good faith reports misconduct, and/or violations of the USOPC's or NGBs' Bylaws, policies, and procedures. Athletes who disclose information to or seek assistance from the Office of the Athlete Ombuds are also protected from retaliation as set forth in Section 22509(b)(5) of the Act.

USA Baseball Whistleblower Policy

4. Resolution

The process for resolving potential code of conduct violations can be found in Section 11.9 of the USA Baseball Bylaws.

5. Legal Compliance

USA Baseball requires that you follow the Code of Conduct and abide by all applicable USA Baseball policies and procedures; United States federal, state and local law as applicable, including the Ted Stevens Olympic and Amateur Sports Act, codified at 36 U.S.C. §§ 22501 – 22529; and foreign law as applicable. If you ever encounter a conflict of law, such as a conflict between United States and foreign law, or have any questions about the legality of any action, contact the Ethics Committee, or USA Baseball's outside Legal Counsel for further information and guidance.

6. Commitment to Integrity

USA Baseball is committed to honesty and integrity as the cornerstone of our activities. In turn, USA Baseball expects you to conduct yourself in an ethical and legal manner as a representative of USA Baseball. This requires that you:



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- Respect the rights of all individuals to fair treatment and equal opportunity, free from discrimination or harassment of any type, including, without limitation discrimination on the basis of race, color, religion, sex, sexual orientation, disability, gender identity, age, national origin, pregnancy, childbirth or related medical conditions, genetic information, veteran status, or any other characteristic protected under applicable federal, state, or local law.
- Know, understand and comply with all applicable laws, regulations and codes of conduct.
- Ensure that all USA Baseball work and transactions are handled with honesty and recorded accurately.
- Protect information that belongs to USA Baseball, our workers, volunteers, members and customers.
- Never use USA Baseball assets or information for personal gain.
- Recognize that even the appearance of misconduct or impropriety can be very damaging to the reputation of USA Baseball and act accordingly.

USA Baseball recognizes that wagering on Olympic, Paralympic, USOPC-sanctioned events, USA Baseball national team games, USA Baseball events and on athletes where they are participating in those events, for example sports book bets and fantasy sports programs that have the possibility of valuable winnings (“Olympic Wagering”), is legal and regulated in the State of Nevada and in a number of foreign jurisdictions. At the same time, it is critical to the avoidance of actual and/or apparent conflicts of interest and to the overall integrity of the Olympic Movement that no person involved in the Movement promote, support, or otherwise engage in Olympic Wagering. Thus you must at all times refrain from directly or indirectly:

1. Engaging in wagering on Olympic, USA Baseball national team games and USA Baseball events;
2. Promoting wagering on Olympic, USA Baseball national team games and USA Baseball events;
3. Facilitating or otherwise supporting wagering on Olympic, USA Baseball national team games and USA Baseball events;
4. Knowingly sharing confidential athlete, team, or competition information with a person or entity involved in wagering on Olympic, USA Baseball national team games and USA Baseball events; or
5. Attempting to influence the course or result of any competition in connection with wagering on Olympic, USA Baseball national team games and USA Baseball events

If anyone approaches you about engaging in items 2-5 above, you have an obligation to disclose this, as set out in Section 3 above.

Additionally, any type of sexual, emotional or physical abuse is intolerable and unacceptable to USA Baseball and is in direct conflict with Olympic ideals. USA Baseball is committed to ensuring that its employees, volunteers, board members, committee and task force members, and member organizations promote an environment free from such abuse; and such commitment extends not only to USA Baseball’s workplace, but also to the creation of safe sporting environments for all athletes and participants. To that end, USA Baseball forbids any form of sexual, emotional or physical abuse, whether in the workplace or outside it, and including instances involving athletes and participants. You have a duty to report any alleged sexual, emotional or physical abuse occurring in the workplace or at any USA Baseball supported training or activity to, as applicable, relevant law enforcement, the Ethics Committee, the U.S. Center for SafeSport, USA Baseball’s Senior Director of Education and Athlete Safety, other executive team member or USA Baseball’s outside Legal Counsel.



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No individual who is an employee, member, or contractor of [NGB] may assist a member or former member of [NGB] in obtaining a new job (excluding the routine transmission of administrative or personnel files) if the individual knows that the member or former member a) violated the policies or procedures of the U.S. Center for SafeSport related to sexual misconduct; and/or b) was convicted of a crime involving sexual misconduct with a minor in violation of applicable law or the policies and procedures of the U.S. Center for SafeSport.

7. Ethics Program

USA Baseball has established an independent Ethics Committee who reports jointly to the Chair of the Ethics Committee and the CEO or his/her designee. The Chair of the Ethics Committee will monitor ethics reports and conduct ethics education at USA Baseball.

8. Conflicts of Interest

USA Baseball has instituted a Conflict of Interest Policy that requires that any conflicts of interest, whether actual or apparent, be reported promptly to the Ethics Chair. A copy of the Conflict of Interest Policy may be found on the Governance page of the USA Baseball's website. You are subject to the conflict of interest policy, including its mandatory reporting of conflicts. In addition, all USA Baseball employees and Board members are required to complete an annual conflict of interest disclosure and certification.

A conflict of interest arises when you have an interest in, obligation to, or relationship with any business, property, or person that could affect your judgment in fulfilling your responsibilities to USA Baseball. You are expected to refrain from any activity or investment that constitutes, or might appear to constitute, a conflict of interest. You are also required to disclose to the Ethics Committee any outside activity, relationship or investment in which you are involved or may become involved that is, or has the potential for appearing to be, a conflict of interest. If you require guidance in this area, your supervisor, the Ethics Committee Chair or USA Baseball's outside Legal Counsel should be consulted.

For example, you are not to have a material holding in, or a professional affiliation with, an organization or affiliate with which USA Baseball does business or with which USA Baseball competes, except as prescribed by USA Baseball rules and policies and with the knowledge and approval of the Ethics Committee. You may not use your position at the USA Baseball to benefit yourself, your relatives, friends or your private enterprises. A family or other personal relationship with a USA Baseball member, vendor, or competitor also may present a conflict of interest.

You must disclose to the Ethics Committee Chair any outside activity, relationship or investment in which you are involved or may become involved that is, or has the potential for appearing to be, a conflict of interest. The Ethics Chair will consult with the full Ethics Committee as appropriate. If you have any question about whether something may constitute a conflict, it is suggested that you seek guidance from your supervisor, the Ethics Committee, or USA Baseball's outside Legal Counsel.

9. Personal Use of Organization Resources

It is the responsibility of each of you to protect and preserve USA Baseball's resources. USA Baseball resources include such things as company time, materials, supplies (including food), equipment (including vehicles), information, electronic mail and computer systems, facilities and other property.



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These resources are provided to you to fulfill USA Baseball's mission and work and are to be maintained and used for authorized USA Baseball-related purposes only. The use of USA Baseball resources for personal financial gain is strictly prohibited except where expressly authorized. You should consult the Employee Handbook for further details. If you have a question about use of any USA Baseball resources, you should contact your supervisor. You should report any improper use of USA Baseball resources to your supervisor or manager, the Ethics Committee and/or USA Baseball's outside Legal Counsel.

USA Baseball also has a Gift and Entertainment Policy that applies to giving and receiving any type of entertainment or gifts in connection with your work with USA Baseball or its member organizations. The Gift and Entertainment Policy also covers gifts to U.S. state, and local government employees. You should consult the Gift and Entertainment Policy, and if necessary obtain permission pursuant to the policy, before giving or receiving any entertainment or gifts. A copy of the Gift and Entertainment Policy may be found on the Governance page of the USA Baseball's website.

10. USA Baseball Information

You are each responsible for the integrity and accuracy of organization documents, communications and financial records. All financial information must reflect actual transactions and conform to generally accepted accounting principles. It is a violation of the Code of Conduct to alter or falsify information, including any record or document, to intentionally make a false or exaggerated statement or claim to anyone, or to mislead anyone. Anyone having concerns regarding questionable accounting or auditing matters should report their concerns to the Audit Committee and USA Baseball's outside Legal Counsel.

USA Baseball's information assets are valuable to the organization, and it is USA Baseball policy that all USA Baseball representatives must diligently protect this information from loss, theft, inadvertent or unauthorized disclosure or misuse. It is essential that everyone do their part to protect USA Baseball information, whether stored in computers, files or elsewhere. You must not discuss with or disclose to any unauthorized persons inside or outside USA Baseball any information that is confidential or not publicly available.

USA Baseball business should not be discussed with unauthorized persons. You should be careful about discussing USA Baseball information and activities in the presence of, or within hearing distance of, unauthorized personnel. You should also not seek or accept any information to which you and USA Baseball are not legitimately entitled, regardless of the source.

Your obligations to maintain the confidentiality and protection of USA Baseball information does not end even if your employment or other relationship with the USA Baseball may end.

11. Intellectual Property

USA Baseball protects the ownership of its intellectual property as set forth in the Employee Handbook. In addition, you should contact USA Baseball's Ethics Committee regarding any anticipated use of intellectual property that does or may belong to someone else.

12. Code of Conduct Policy Lead



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Ethics Committee Chair, George Grande (ethics@usabaseball.com) can be contacted with any questions about this policy.

For Athletes With Questions Regarding This Code of Conduct Policy:

The Athlete Ombudsman provides cost-free, independent and confidential advice regarding athlete rights; resolving disputes or grievances; and any sport rule, policy, or process, including NGB-athlete agreements, codes of conduct or team selection procedures. The Athlete Ombudsman can also help athletes connect with legal counsel or mental health resources if needed. Athletes may contact the Athlete Ombudsman at:

PHONE: (719) 866-5000

EMAIL: ombudsman@usathlete.org

WEBSITE: www.usathlete.org

Holly Shick
USOPC Chief Ethics & Compliance Officer
PHONE: (719) 866-2018
EMAIL: holly.shick@usopc.org