

**November 5, 2020**

**WHISTLEBLOWER POLICY**

**OF THE**

**UNITED STATES BASEBALL FEDERATION, INC.**

## **1. Purpose**

This Whistle-Blower Policy (the “Policy”) is intended to support a strong culture of integrity and ethical conduct at USA Baseball by encouraging, valuing, and protecting good faith reporting by athletes, directors, officers, employees, members, committee members, task force members, hearing panel members, and volunteers (“Affiliated Individuals”) of USA Baseball of any alleged violation of any applicable law or policy or any potential ethics issue.

The freedom to speak up means being able to raise concerns in whatever way is most comfortable and effective and feeling free to cooperate in investigations that follow. It also means that USA Baseball has zero tolerance for retaliation of any kind against people who speak up in good faith.

## **2. Violations Covered by this Policy**

This Policy is for use where there may be a violation of:

- any applicable law, rule or regulation
- any USA Baseball policy
- principles of ethics
- accounting or financial practices (e.g., fraud)
- the “Act” (the Ted Stevens Olympic and Amateur Sports Act)
- the USOPC Bylaws

If an Affiliated Individual is unsure about whether a matter might be a policy violation or is unsure about their reporting responsibility for a particular type of matter, please start by reviewing the particular policy involved. USA Baseball staff should refer to USA Baseball’s employee handbook, abuse awareness and athlete safety policies, or contact Executive Director, Paul Seiler (paulseiler@usabaseball.com), Senior Director of Education and Athlete Safety, Lauren Rhyne (laurenrhyne@usabaseball.com), or external General Counsel, Karen Gaunt (Karen.Gaunt@Dinsmore.com / 513-977-8503) for more information.

Also, keep in mind that some violations *must* be reported. Specifically, please be familiar with the requirements in the USA Baseball’s abuse awareness and athlete safety policies, as well as the SafeSport Code. And of course, if an Affiliated Individual suspects any criminal activity against a person or property, they should report this directly to law enforcement immediately.

**Nothing in this Policy changes or replaces any mandatory reporting obligations under the SafeSport Code for the Olympic and Paralympic Movements – talk to Lauren Rhyne or legal counsel, Karen Gaunt, if you have any questions about those obligations.**

## **3. Reporting**

### **No Retaliation**

USA Baseball has an open-door policy and encourages Affiliated Individuals to share questions, concerns, suggestions or complaints in the way and to the people with which they are most comfortable. This means Affiliated Individuals have options for how to report any concern about a potential ethical, policy, financial or legal violation.

USA Baseball has zero tolerance for retaliation against people who make good faith reports of potential ethical, policy, financial or legal violations, or who cooperate with investigations of those reports. That

means no Affiliated Individual may threaten, harass, discriminate against, or take any negative employment (where applicable) or participation related action (e.g., discharge, demotion, suspension, non-assignment, negative review) on that basis.

Any such retaliation can be reported as described above in the same way as any other policy violation. It will be treated as a violation of this Policy and USA Baseball's Code of Conduct, and may lead to serious consequences including termination of employment or participation for anyone involved in retaliation.

### How to Report

Affiliated Individuals may always report to an USA Baseball staff member or their supervisor (if applicable). Or, the Affiliated Individual can make a report to [Executive Director, Paul Seiler](#), [Senior Director of Education and Athlete Safety, Lauren Rhyne](#), or [external General Counsel, Karen Gaunt](#). These are people who can also discuss the concern and help make sure it is addressed. Affiliated Individuals can also make reports to George Grande, USA Baseball Board Member and Chair of USA Baseball's Ethics Committee.

Please remember that as a reporter, Affiliated Individuals do not need to (and should not) investigate the matter of concern or determine fault or how to fix it. The Affiliated Individual does his or her part by making it known so the right people can take action. Investigations of reports are discussed below.

### Acting in Good Faith

Just as we need to make sure that no one in our community is fearful of speaking up, we also need to make sure that no one in our community is fearful about false reports that might harm them.

With that in mind, anyone reporting a perceived ethical, policy, financial, or legal violation must be acting in good faith and have some basis for believing there may be a violation. Anyone that makes a false report knowing that it is false or that it has no basis is violating this Policy and the USA Baseball Code of Conduct in the same way as someone retaliating against a good faith reporter. Such a violation may itself be reported under this Policy and it may lead to serious consequences, including termination of employment or participation.

## **4. Investigation**

Once a report is made in one of the ways described above, the person receiving the report is responsible for getting it to the person who can best address the concern, based on the matter reported and in keeping with other appropriate policies. In all cases, USA Baseball is committed to ensuring that no good faith report goes unheard or ignored.

[General Counsel, Karen Gaunt](#), is responsible for coordinating among these people so that reporters can be confident that reported concerns get to the people best positioned to act on them. Karen Gaunt will report regularly to the USA Baseball Ethics Committee and the USA Baseball Board of Directors as may be necessary and/or appropriate.

## **5. Confidentiality**

In many cases, a reported matter will need investigation in order to reach the right resolution. Cooperation as a reporter or otherwise may be very helpful and much appreciated. Reports will be treated as confidentially as possible; some information may have to be disclosed to certain parties in order to conduct a thorough investigation, to comply with the law, and to provide accused individuals access to due process.

If a matter is reported anonymously and the reporter chooses to remain anonymous as it is investigated, USA Baseball will respect that.

## **6. Follow Up**

If an Affiliated Individual reports an alleged violation of ethics, USA Baseball policy, or applicable laws, USA Baseball will report back to the Affiliated Individual on the progress and investigation results as appropriate, and subject to applicable rules of confidentiality and privacy. And of course, the Affiliated Individual is always free to follow up to learn more from the person they reported to. Confidentiality, legal obligations and obligations under the SafeSport Code may affect the details available.

Complaints made under this policy will be investigated and handled pursuant to any additional policies that may be applicable, including, but not limited to, USA Baseball's Conflicts of Interest Policy, Code of Conduct, athlete safety, employee policies and Bylaws.

If the investigation of a report that was made in good faith is not to the satisfaction of the reporter, then the reporter may report that, too.

Thank you for helping to ensure that USA Baseball is a safe zone for speaking up in good faith on important matters.