



Assistance League® of Tustin Whistleblower Policy

If any employee, volunteer or consultant believes that some policy, practice, or activity of Assistance League of Tustin is in violation of law, a written complaint must be filed by that employee, volunteer or consultant with the Board President or other Board member.

It is the intent of Assistance League of Tustin to adhere to all laws and regulations that apply to the organization and the underlying purpose of this policy is to support the organization's goal of legal compliance. The support of all employees, volunteers and consultants are necessary to achieve compliance with various laws and regulations. An employee, volunteer or consultant is protected from retaliation only if the employee, volunteer or consultant brings the alleged unlawful activity, policy or practice to the attention of the Assistance League of Tustin and provides the Assistance League of Tustin with a reasonable opportunity to investigate and correct the alleged unlawful activity. The protection described below is only available to employees, volunteers and consultants that comply with this requirement.

Assistance League of Tustin will not retaliate against an employee, volunteer or consultant who in good faith, has made a protest or raised a complaint against some practice of Assistance League of Tustin or of another individual or entity with whom Assistance League of Tustin has a business relationship, on the basis of a reasonable belief that the practice is in violation of law, or a clear mandate of public policy.

Assistance League of Tustin will not retaliate against employees, volunteers or consultants who disclose or threaten to disclose to a board member or a public body, any activity, policy, or practice of Assistance League of Tustin that the employee, volunteer or consultant reasonably believes is in violation of a law, or a rule, or regulation mandated pursuant to law or is in violation of a clear mandate of public policy concerning the health, safety, welfare, or protection of the environment.

My signature below indicates my receipt and understanding of this policy. I also verify that I have been provided with an opportunity to ask questions about the policy.

Assistance League® of Tustin Ethics Policy

All members, volunteers and staff have a duty of loyalty to Assistance League of Tustin in all organizational affairs. Assistance League of Tustin believes strongly that its members must uphold the highest standards of ethical and professional behavior and to:

- Hold paramount the safety, health and welfare of the public in the performance of chapter duties.
- Operate in a responsible, honest and transparent manner. Everyone is expected to exercise due diligence, reasonable care and integrity in all organizational affairs.
- Treat with respect and consideration all persons, regardless of race, religion, gender, abilities, age or national origin.
- Engage in carrying out Assistance League of Tustin's mission in a professional manner.
- Collaborate with and support others in carrying out the Chapter's mission.
- Comply with all Chapter policies.

*ALL (Chapter and WCA) ASSISTANCE LEAGUE of TUSTIN voting members:
It is essential that every voting member read and acknowledge as having
read the Conflict of Interest / Disclosure of Certain Interest.*

*This is a required by National Assistance League®
and because we are a 501c-3 non-profit organization.*

Assistance League® of Tustin Conflicts of Interest / Disclosure of Certain Interests Policy

This conflict of interest policy is designed to help directors, officers, employees and members of ASSISTANCE LEAGUE of TUSTIN (ALT) identify situations that present potential conflicts of interest and to provide ALT with a procedure which, if observed, will allow a transaction to be treated as valid and binding even though a director, officer, employee or member has or may have a conflict of interest with respect to the transaction. The policy is intended to comply with the procedure prescribed in California statutes, governing conflicts of interest for directors of nonprofit corporations. All italicized terms are defined in Part 2 of this policy.

1. Conflict of Interest Defined. For purposes of this policy, the following circumstances shall be deemed to create *Conflicts of Interest*:

A. Outside Interests.

- (i) A *Contract or Transaction* between ASSISTANCE LEAGUE of TUSTIN and a *Responsible Person or Family Member*.
- (ii) A *Contract or Transaction* between ASSISTANCE LEAGUE of TUSTIN and an entity in which a *Responsible Person or Family Member* has a *Material Financial Interest* or of which such person is a director, officer, agent, partner, associate, trustee, personal representative, receiver, guardian, custodian, conservator or other legal representative.

B. Outside Activities.

- (i) A *Responsible Person* competing with ASSISTANCE LEAGUE of TUSTIN in the rendering of services or in any other *Contract or Transaction* with a third party.

A *Responsible Person's* having a *Material Financial Interest* in; or serving as a director, officer, employee, agent, partner, associate, trustee, personal representative of, or consultant to, an entity or individual that competes with ASSISTANCE LEAGUE of TUSTIN in the provision of services or in any other *Contract or Transaction* with a third party.

C. Gifts, Gratuities and Entertainment. A *Responsible Person* accepting gifts, entertainment or other favors from any individual or entity that:

- (i) does or is seeking to do business with, or is a competitor of ASSISTANCE LEAGUE of TUSTIN; or
- (ii) has received, is receiving or is seeking to receive a loan or grant, or to secure other financial commitments from ASSISTANCE LEAGUE of TUSTIN; or
- (iii) is a charitable organization;

under circumstances where it might be inferred that such action was intended to influence or possibly would influence the *Responsible Person* in the performance of his or her duties. This does not preclude the acceptance of items of nominal or insignificant value or entertainment of nominal or insignificant value which are not related to any particular transaction or activity of ASSISTANCE LEAGUE of TUSTIN.

Assistance League® of Tustin

Conflicts of Interest/Disclosure of Certain Interests Policy

(Continued)

2. Definitions.

- A. A *Conflict of Interest* is any circumstance described in Part 1 of this Policy.
- B. A *Responsible Person* is any person serving as an officer, employee or member of the Board of Directors of ASSISTANCE LEAGUE of TUSTIN or any voting member of ASSISTANCE LEAGUE of TUSTIN.
- C. A *Family Member* is a spouse, parent, child or spouse of a child, brother, sister, or spouse of a brother or sister, of a *Responsible Person*.
- D. A *Material Financial Interest* in an entity is a financial interest of any kind, which, in view of all circumstances, is substantial enough that it would, or reasonably could, affect a *Responsible Person's* or *Family Member's* judgment with respect to transactions to which the entity is a party.
- E. A *Contract or Transaction* is any agreement or relationship involving the sale or purchase of goods, services or rights of any kind, the providing or receipt of a loan or grant, the establishment of any other type of pecuniary relationship, or review of a charitable organizations by ASSISTANCE LEAGUE of TUSTIN. The making of a gift to ASSISTANCE LEAGUE of TUSTIN is not a *Contract or Transaction*.

3. Procedures.

- A. Prior to Board or committee action on a *Contract or Transaction* involving a *Conflict of Interest*, a director or committee member having a *Conflict of Interest* and who is in attendance at the meeting shall disclose all facts material to the *Conflict of Interest*. Such disclosure shall be reflected in the minutes of the meeting.

A director or committee member who plans not to attend a meeting at which he or she has reason to believe that the Board or committee will act on a matter in which the person has a *Conflict of Interest* shall disclose to the chairman of the meeting all facts material to the *Conflict of Interest*. The chairman shall report the disclosure at the meeting and the disclosure shall be reflected in the minutes of the meeting

- B. A person who has a *Conflict of Interest* shall not participate in or be permitted to hear the Board or committee discussion of the matter except to disclose material facts and to respond to questions. Such person shall not attempt to exert his or her personal influence with respect to the matter, either at or outside the meeting.
- C. A person who has a *Conflict of Interest* with respect to a *Contract or Transaction* that will be voted on at a meeting shall not be counted in determining the presence of a quorum for purposes of the vote. The person having a *Conflict of Interest* may not vote on the *Contract or Transaction* and shall not be present in the meeting room when the vote is taken, unless the vote is by secret ballot. Such person's ineligibility to vote shall be reflected in the minutes of the meeting.
- D. *Responsible Persons* who are not members of the Board of Directors of ASSISTANCE LEAGUE of TUSTIN, or who have a *Conflict of Interest* with respect to a *Contract or Transaction* that is not the subject of Board or committee action, shall disclose to the chairman or supervisor or their designee any *Conflict of Interest* that such *Responsible Person* has with respect to a *Contract or Transaction*. Such disclosure shall be made as soon as the *Conflict of Interest* is known to the *Responsible Person*. The *Responsible Person* shall refrain from any action that may affect ASSISTANCE LEAGUE of TUSTIN's participation in such *Contract or Transaction*.
- E. In the event it is not entirely clear that a *Conflict of Interest* exists, the individual with the potential conflict shall disclose the circumstances to the chairman or supervisor or their designee, who shall determine whether there exists a *Conflict of Interest* that is subject to this policy.

4. Confidentiality. Each *Responsible Person* shall exercise care not to disclose confidential information acquired in connection with such status or information which might be adverse to the interests of ASSISTANCE LEAGUE of TUSTIN. Furthermore, a *Responsible Person* shall not disclose or use information relating to the business of ASSISTANCE LEAGUE of TUSTIN for the personal profit or advantage of the *Responsible Person* or a *Family Member*.

5. Review of Policy.

- A. Each new *Responsible Person* shall be required to review a copy of this policy and to acknowledge such in writing.
- B. (*Optional*) Each *Responsible Person* shall annually complete a disclosure form identifying any relationships, positions or circumstances in which the *Responsible Person* is involved that could contribute to a *Conflict of Interest* arising. Such relationships, positions or circumstances might include service as a director of or consultant to a nonprofit organization, or ownership of a business that might provide goods or services to ASSISTANCE LEAGUE of TUSTIN. Any such information regarding business interests of a *Responsible Person* or a *Family Member* shall be treated as confidential and shall generally be made available only to the President, the Executive Director and any committee appointed to address *Conflicts of Interest*, except to the extent disclosure is necessary in connection with the implementation of this policy.

This policy shall be reviewed annually by the Board of Directors. Any changes to the policy shall be communicated immediately to all *Responsible Persons*.