

**BOSTON BAR ASSOCIATION  
BOSTON BAR FOUNDATION  
WHISTLEBLOWER POLICY**

Adopted by BBF Trustees 9/26/06  
Adopted by BBA Council 10/17/06  
Revised by BBA Council 5/20/08, 4/23/13  
Revised by BBF Trustees 4/24/13

**GENERAL**

The Boston Bar Association and the Boston Bar Foundation (collectively the “BBA/BBF”) expect its directors, officers, employees and other representatives to observe high standards of business and personal ethics in the performance of their duties and responsibilities on behalf of the BBA/BBF. All must practice honesty and integrity and comply with all applicable laws and regulations. The BBA/BBF has an open door policy whereby employees or others are encouraged to share their questions, concerns, suggestions or complaints with BBA/BBF management and the Executive Director. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within the organization prior to seeking resolution outside the organization.

**POLICY**

- (1) Everyone in the performance of official BBA/BBF activity is expected to report violations or suspected violations of any applicable law or regulation or of the BBA/BBF’s accounting practices or internal controls and policies (including this Whistleblower Policy) in accordance with this Whistleblower Policy.
- (2) No one who in good faith reports such a violation or suspected violation shall suffer harassment, retaliation or adverse employment consequence. An employee who retaliates against someone who has made a report in good faith is subject to discipline up to and including termination of employment.
- (3) This Policy shall be made available to all BBA/BBF employees and members of the Council and Trustees, and shall be posted on the BBA/BBF website and in a prominent place within the BBA/BBF workplace.

**REPORTING VIOLATIONS**

All reports of violations or suspected violations of any applicable law or regulation or of the BBA/BBF’s accounting practices or internal controls and policies shall be reported to the Executive Director with a copy to the President of the BBA or BBF as appropriate. If the violation or suspected violation involves actions of the Executive Director, then the report should be made to the President or President Elect of the Boston Bar Association or the Boston Bar Foundation, as appropriate.

## Report Content

The report may be made in person, by telephone, email or other written communication. The report should contain sufficient information to permit adequate investigation. At a minimum, the following information should be provided:

- The name and contact information of the reporting party; reports may be made anonymously, but individuals who make such reports should recognize the limits that are inherent in investigating anonymous reports;
- Description of the nature of the improper activity, with sufficient detail to permit an initial investigation;
- Name(s) of the employee(s), or other individuals, and department(s) engaging in the activity or with knowledge of the activity;
- Approximate or actual date(s) the activity took place; and
- Explanation of any steps taken internally with BBA/BBF management to report or resolve the complaint.

## Confidentiality

Reports will be kept confidential to the extent possible, consistent with the need to conduct a thorough investigation.

## Administration & Resolution of Reports

- (1) The Executive Director or President receiving a report will acknowledge receipt promptly. Within 30 days of receipt of a report pursuant to this policy, the Executive Director or President or designee will complete a preliminary investigation to determine the validity of the report. To the extent necessary, he or she will direct appropriate staff to document and maintain secured records of all reported activities and any document relating to the investigation of the reported activities in accordance with the BBA/BBF's records retention policy.
- (2) Based upon this preliminary investigation, the Executive Director or President will review the report and findings and determine what, if any, further action is required. Such actions may include requesting additional investigative work, contacting independent legal counsel and outside auditors and/or reporting to law enforcement agencies.
- (3) All records pertaining to any complaint received shall be retained for four years from the date the complaint was filed and shall also be made available to government authorities as required by applicable law.

***Harassment and Discrimination allegations should continue to be reported according to the Harassment & Discrimination Policy***

***For guidance on addressing other work place issues, the employee manual should be consulted.***