

## Appendix 3

### Association of American State Geologists Whistleblower Policy and Procedure

#### Purpose

The Association of American States Geologists (AASG) is committed to honest, ethical, and lawful conduct, full and fair disclosure, and compliance with all applicable laws. The AASG will not tolerate any form of retaliation – including but not limited to intimidation, harassment, discrimination, or adverse employment consequences – against an AASG Member, Associate, Honorary, Emeritus, contractors, and/or employees who, in good faith, reports any action or suspected action taken by or within AASG that is illegal, fraudulent, or in violation of legally required or applicable adopted policies. This policy outlines AASG’s procedure for making and handling such good faith reports.

#### Scope & Definitions

This policy applies to AASG Members, Associates, Honoraries, Emeriti, contractors, and/or employees with “good faith” concerns regarding suspected unethical and/or illegal conduct or practices taken by or within AASG that is illegal or fraudulent. For the purposes of this policy, a “good faith” concern is one that the reporter reasonably believes to be true and reasonably believes to constitute illegal conduct, fraud, or a violation of an applicable adopted policy of AASG.

An “Adopted policy of AASG” means AASG Code of Conduct and Conflicts of Interest policies that are formally adopted and are designed to prevent financial wrongdoing, such as internal and external financial controls, accounting policies, and policies prohibiting fraud, theft, embezzlement, bribery, kickbacks, and abuse or misuse of assets, and workplace discrimination and harassment policies.

#### I. Policy

- A. When to raise a concern: All AASG Members, Associates, Honoraries, Emeriti, contractors, and/or employees have an affirmative duty to report in good faith any concerns that they may have regarding actual or suspected activities which may be illegal. While concerns may be submitted at any time, it is best to submit a concern as soon as reasonably possible after becoming aware of the matter.
- B. How to raise a concern. Any good faith concerns should be reported as soon as practicable to the AASG President. If the person making the report does not feel comfortable reporting the information to the President, he or she may submit the concern (i) by discussing it with a supervisor, who is expected to forward the information to the President, or (ii) submit the concern to the AASG Past President.
  - i. Concerns may be submitted in writing. No form is required to submit a concern, but sufficient detail should be given so that the concern can be properly investigated.
- C. Reports may be made anonymously if desired.

- D. The AASG President shall administer this policy, make determinations, and at his or her discretion, shall report on Policy, its implementation, and the general type and resolution of whistleblower complaints to the AASG Executive Committee.

## **II. Procedure**

**Investigations.** The AASG President will assess each concern to determine to what extent an investigation is required and will direct any investigation conducted.

- A. Each report shall be tracked from the time of the initial report to its resolution. The results of the investigation shall be documented and reported to the AASG President and such other individuals as may be appropriate.
- B. Investigative steps shall include, as appropriate, interviews of witnesses, reviews of records and such other steps as the person who has been designated to administer this Policy shall deem appropriate.
- C. In conducting its investigations, AASG will strive to keep the identity of the reporting individual confidential. All concerns received will be treated confidentially (or anonymously, if applicable) to the extent reasonable and practical under the circumstances.
- D. All witnesses who are interviewed or contacted shall be informed that any retaliation against known or suspected reporters of the suspected improper conduct is strictly prohibited and that any person found to have engaged in retaliation shall be subject to discipline, up to and including termination of AASG Membership and suspended participation with AASG.
- E. If the subject of the concern is the AASG President, he/she will recuse him/herself from the investigation and the Past President will preside over the issue. If other Members of the Executive Committee (Past President, Vice President, Treasurer, and Secretary) are the subject of concern, such individual also shall be recused.
- F. All files pertaining to an investigation will be maintained in a confidential file by the AASG Secretary.

## **III. Non-Retaliation**

- A. No person making a good faith report of any action or suspected action taken by or within AASG shall suffer intimidation, harassment, discrimination, or other retaliation.
- B. An AASG Member, Associate, Honorary, Emeritus, contractors, or employees who believes that he or she is being retaliated against must contact the AASG President immediately. If the President is the subject of concern, the Past President shall be notified immediately.
- C. Reports of suspected retaliation shall be investigated promptly and shall be tracked.

D. Persons found to have engaged in retaliation shall be subject to discipline, up to and including termination of Membership and suspended participation with AASG.

#### **IV. Distribution of Policy**

This Policy and Procedure shall be made available to all AASG Members, Associates, Honoraries, Emeriti, contractors and/or employee and shall be posted on AASG's website.

Adopted by AASG on *5/14/2021*.