

"WHISTLEBLOWER" POLICY

Date adopted: November 3, 2005

Signed by: Jelly S. Johnson, Vice-President

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**Procedures and Protections for
Confidential, Anonymous Submission of Concerns**

National Association of State Boating Law Administrators, Inc. ("NASBLA") provides an independent, confidential reporting channel for any employee who desires to communicate good faith concerns about questionable accounting, auditing or other financial matters. The following procedures and protections have been approved by NASBLA's Audit/Finance Committee.

I. SUBMISSION OF CONCERNS

- A. The Chair of NASBLA's Audit/Finance Committee has been designated as the independent contact for submission of concerns about questionable accounting, auditing or other financial matters. The telephone number, mail address of the Audit/Finance Committee Chair will be distributed to all employees.
- B. Upon receipt of a concern, the Audit/Finance Committee Chair will (1) determine whether the complaint actually pertains to an accounting, auditing or other financial matter and (2) when possible, acknowledge receipt of the complaint to the sender.
- C. Confidentiality will be maintained to the fullest extent possible, consistent with the need to conduct an adequate review.

II. TREATMENT OF SUBMITTED CONCERNS

- A. All submitted concerns will be taken seriously. Concerns related to accounting, auditing or other financial matter will be reviewed under the direction of the Audit/Finance Committee and involve such other persons as the Audit/Finance Committee deems appropriate, including but not limited to other members of the Executive Board and/or the Executive Director.
- B. Prompt and appropriate corrective action will be taken when and as warranted in the judgment of the Audit/Finance Committee.
- C. Investigation details and conclusions will be documented and maintained in accordance with NASBLA's document retention policy.

III. NO RETALIATION

NASBLA will not discharge, demote, suspend, threaten, harass or in any manner discriminate against any employee in the terms and conditions of employment based upon any lawful actions of such employee with respect to good faith reporting of concerns.

IV. NO ADDITIONAL CAUSE OF ACTION

NASBLA is voluntarily adopting this policy. No additional cause of action against NASBLA (other than that already provided by law) shall result from the adoption of this policy.