

American Liver Foundation

Whistleblower Policy

A whistleblower as defined by this policy is an employee of the American Liver Foundation (“Foundation”) who reports in good faith an activity that he/she considers to be illegal, unethical, improper or dishonest. The whistleblower is not responsible for investigating the activity or for determining fault or corrective measures; appropriate management officials are charged with these responsibilities.

The purpose of this Whistleblower Policy is to encourage employees, without fear of retaliation, to raise concerns in good faith regarding suspected or known unlawful, unethical and/or improper conduct so that the Foundation can address and correct any conduct it determines to be illegal, unethical or improper, and take all other appropriate measures.

Reporting Responsibility and Procedures:

The Foundation is committed to facilitating open and honest communications relevant to its governance, finances, and compliance with all applicable laws and regulations. All Foundation employees have the responsibility to report suspected or known unlawful, unethical, and improper behavior including, but not limited to, any of the following conduct:

- theft;
- fraud;
- embezzlement;
- bribery or kickbacks;
- financial reporting that is intentionally misleading;
- irregular, improper or undocumented financial transactions;
- improper destruction of records;
- improper use of assets;
- violations of the Foundation’s conflict-of-interest policy;
- violations of federal, state or local laws
- billing for services not performed or for goods not delivered
- any other improper occurrence regarding cash, financial procedures, or reporting

If an employee has knowledge of or suspects such unlawful, unethical or improper conduct, the employee is required to report such conduct immediately to his/her immediate supervisor, the head of Human Resources, or the COO or CFO or CEO.

If for any reason the employee does not believe these channels of communication are adequate, the concern must be reported immediately to either the National Board Chair or the chair of the Audit Committee. Anonymous reports will be accepted. The contact information for the National Board Chair and the chair of the Audit Committee appears below.

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Good Faith:

Any employee who reports a concern under this policy must exercise sound judgment and act in good faith to avoid baseless allegations. An employee who intentionally files a false report of wrongdoing will be subject to disciplinary action up to and including termination.

Confidentiality:

Insofar as possible, the confidentiality of the whistleblower will be maintained. However, the identity of the whistleblower may have to be disclosed, such as to conduct a thorough investigation and/or to comply with the law.

No Retaliation:

The Foundation will not retaliate against and will not tolerate retaliation against any employee who, in good faith, makes a report under this policy. This includes, but is not limited to, protection from retaliation in the form of harassment or an adverse employment action such as termination, compensation decreases, or poor work assignments or threats of physical harm. Any whistleblower who believes he/she is being retaliated against must contact the head of Human Resources or the Chair of the Audit Committee immediately. The right of a whistleblower for protection against retaliation does not include immunity for any personal wrongdoing that is alleged and investigated. Any employee found to have engaged in retaliation will be subject to disciplinary action up to and including termination.

Investigations and Corrective Action:

All concerns reported under this policy will be investigated promptly and thoroughly. All employees are required to cooperate in good faith in any such investigation. Any failure to cooperate in good faith in such an investigation may be grounds for disciplinary action up to and including termination.

The head of Human Resources or a designee of the Chair of the Audit Committee, as appropriate, will be responsible for investigating and coordinating corrective action.

Employees with any questions regarding this policy should contact the head of Human Resources or the Chair of the Audit Committee.

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