



## **Autoimmune Registry Inc. Whistleblower Policy**

The Autoimmune Registry Inc. (ARI) is committed to operating in furtherance of its tax-exempt purposes and in compliance with all applicable laws, rules and regulations, including those concerning accounting and auditing, and prohibits fraudulent practices by any of its board members, officers, employees, or volunteers. This policy outlines a procedure for employees to report actions that an employee reasonably believes violate a law or regulation that constitutes fraudulent accounting or other practices.

### **1. Purpose:**

The purpose of this Whistleblower Policy is to establish procedures for reporting concerns or complaints regarding suspected misconduct, illegal activities, or violations of organizational policies within ARI.

### **2. Scope:**

This policy applies to all employees, volunteers, contractors, and board members associated with ARI. The policy applies to any matter which is related to ARI's business and does not relate to private acts of an individual not connected to the business of ARI.

### **3. Reporting Procedures:**

- a. Individuals who suspect misconduct or a violation of policies are encouraged to report their concerns promptly to their immediate supervisor, manager, or another appropriate authority within the organization.
- b. If the individual is uncomfortable reporting to their immediate supervisor or believes the supervisor is involved in the suspected misconduct, they should report directly to the Executive Director or Director of Research.

### **4. Protection Against Retaliation:**

- a. ARI prohibits retaliation against individuals who, in good faith, (i) reports to a supervisor, to the executive director, the Board of Directors or to a federal, state or local agency what the employee believes in good faith to be a violation of the law; or (ii) participates in good faith in any resulting investigation or proceeding, or (iii) exercises his or her rights under any state or federal law(s) or regulation(s) to pursue a claim or take legal action to protect the employee's rights.
- b. Any form of retaliation is a serious violation of organizational policy and may result in disciplinary action, up to and including termination.

### **5. Confidentiality:**

- a. All reports and related investigations will be handled with the utmost confidentiality to the extent permitted by law and the requirements of a thorough investigation.
- b. Disclosures of identity will only occur on a need-to-know basis or as required by law.

### **6. Investigation Process:**



- a. Reports will be promptly and thoroughly investigated by ARI or by an external party designated by the organization.
- b. Individuals involved in the investigation will be trained to maintain confidentiality and avoid conflicts of interest.

**7. Records Keeping:**

Records of all whistleblower reports and related investigations will be maintained in a secure and confidential manner.

**8. Acknowledgement:**

All employees, volunteers, contractors, and board members will be required to review and acknowledge their understanding and commitment to non-retaliation as a condition of their association with ARI.

**9. Review and Revision:**

This policy will be reviewed periodically and updated as necessary to ensure its effectiveness and compliance with applicable laws and regulations.