

VI. Policies - Personnel

6.1 WHISTLEBLOWER POLICY

INTRODUCTION:

To ensure maintaining the highest standards of conduct and ethics, the association encourages the reporting of, and will investigate, any suspected fraudulent or dishonest use or misuse of association resources or property by staff, volunteers, or consultants. Whistleblower protection is provided by Federal laws that shield employees from retaliation for reporting illegal acts. An employer cannot retaliate in any way, by demoting, suspending, terminating or harassing the whistleblower.

POLICY:

1. A whistleblower is defined as a director, supervisor, manager, employee, contractor, or volunteer with the association who wants to report any conduct or activity that they believe is in breach of the Code of Ethics or of the law, and that individual wants to avail him or herself of protection against reprisal for having made the report. A whistleblower may or may not elect to remain anonymous.
2. Any suspected fraudulent, dishonest, inappropriate, or illegal conduct involving the association, its employees, volunteers and contractors, shall be reported to a supervisor. The supervisor will in turn make a report to the Executive Director for investigation and resolution.
3. If reporting to a supervisor is not deemed adequate, feasible, would be futile (i.e., where activities may involve the individual to whom the report should be made), or if such a course has not produced a timely response, staff, volunteers, and consultants are encouraged to report to the management and leadership of ASWB in the following order: the Executive Director, the President of ASWB, another officer of the Board of Directors; or another member of the Board of Directors. If none of the above options are adequate or feasible, reports may be made directly to the association's Employee Assistance Program, LifeWork Strategies, at (877) 252-8550.

4. If a report is submitted to LifeWork, LifeWork will forward the concern to the Board of Directors and/or the chair of the Audit Committee. All information received will be maintained in confidence and the identity of the reporting individual will not be disclosed without his or her permission. Whistleblower reports may also be made to a government or law-enforcement agency.
5. All reports will be promptly investigated by the appropriate authority. If wrongdoing is found, the guidelines of the Code of Conduct will be applied. In the event of a report that is made with reckless disregard for truth, the individual making such a report may be subject to disciplinary action by the association or legal claims by the accused individual.
6. Any ASWB-related act or failure to act with the intention of obtaining unauthorized benefit for anyone should be reported. Examples are forgery or alteration of documents, unauthorized alteration or manipulation of computer files, fraudulent financial reporting, violating the confidentiality or conflict of interest policies, misuse of association resources, such as funds, supplies, or other assets, authorizing or receiving compensation for hours not worked, or other illegal or inappropriate conduct.

Approved by the Board of Directors, August 2009

6.2 EVALUATION OF EXECUTIVE DIRECTOR

INTRODUCTION:

Evaluation of the executive director will be carried out each year in a timely manner, and will be based on performance and accomplishment.

POLICY:

1. The executive director will submit a list of goals and objectives to the Evaluation Committee composed of the President, Secretary, and either President Elect or Immediate Past President, by the ASWB Annual Meeting.
2. The Evaluation Committee will review the goals and objectives, and discuss them with the executive director. Should circumstances warrant, executive director goals and objectives may be revisited throughout the year.
3. The Board of Directors shall, in a timely manner, review and negotiate the terms of the upcoming contract between ASWB and the Executive Director to ensure contract extension or appropriate transition.
4. An evaluation of the executive director will be conducted annually by the Board of Directors or a committee of the board designated by the president. The evaluation will be conducted before the Annual Meeting of the Delegate Assembly, or in years when the Executive Director's contract is up for renewal, before September 30th, the time by which the contract must be renewed or it automatically extends.
5. As a component in its evaluation, the Board of Directors may survey member boards regarding the performance of the executive director.

Approved by the Board of Directors, April 1999, revised October 2004.