

VI. PERSONNEL

6.1 WHISTLEBLOWER POLICY

INTRODUCTION:

To ensure maintaining the highest standards of conduct and ethics, the Association encourages the reporting of and shall 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 any employee, contractor, or volunteer with the Association who wants to report any conduct or activity that the person believes 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 Chief Executive Officer 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 the Association in the following order: Chief Executive Officer, President of ASWB, another officer of the Board of Directors, or another member of the Board of Directors. If none of the above options is adequate or feasible, reports may be made directly to the Association's Employee Assistance Program (EAP).
4. If a report is submitted to the Association's EAP, the EAP shall forward the concern to the President of ASWB. All information received shall be maintained in confidence and the identity of the reporting individual shall not be disclosed without his or her permission. Whistleblower reports may also be made to a government or law-enforcement agency.
5. All reports shall be promptly investigated by the appropriate authority. If wrongdoing is found, the guidelines of the Code of Conduct shall 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.

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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. Revised August 2012, January 2016, January 2017.

6.2 EVALUATION OF THE CHIEF EXECUTIVE OFFICER

INTRODUCTION:

Evaluation of the Chief Executive Officer shall be carried out each year in a timely manner and will be based on performance and accomplishment.

POLICY:

1. The Chief Executive Officer shall submit an annual list of goals and objectives to the Board of Directors.
2. The Board of Directors shall review the goals and objectives and discuss them with the Chief Executive Officer prior to approval. Should circumstances warrant, these goals and objectives may be revisited throughout the year.
3. The President and Treasurer shall, in a timely manner, review and negotiate the terms of the upcoming contract between the Association and the Chief Executive Officer to ensure contract extension or appropriate transition. The Board of Directors shall approve the contract.
4. An evaluation of the Chief Executive Officer shall be conducted annually by the Board of Directors. The evaluation shall be conducted before the Annual Meeting of the Delegate Assembly.
5. As a component in its evaluation, the Board of Directors may survey Member Boards regarding the performance of the Chief Executive Officer.

Approved by the Board of Directors April 1999. Revised October 2004, August 2012, January 2016, April 2016.