



Case of Concern Process for concerns raised regarding SWS Trustees of the Board

What is a case of concern? A case of concern is any issue that is raised by an individual that raises concerns about a behavior, actions, or statements of a Trustee of the Board that may be perceived as not in alignment with the SWS Code of Ethics or Board Service Agreement.

How is a case of concern brought? A case of concern must be brought in writing to either the Administrative Directors or a member of the Board of Trustees (BOT).

Processing a case of concern:

1. Within 1 week of receipt: When a case of concern is brought forth, the President, Vice President are informed and provided the case. Should either the President or Vice President be the subject of this concern, the Treasurer or Secretary will step in. Within 1 week of receipt: The subject of the case of concern is informed as to the concern and next steps. The case is documented in the BOT member's file.
2. Communication is provided to the party who raised the concern stating:
 - a. The concern has been received
 - b. What the next steps are
 - c. What the timeline of those steps are
3. The BOT reviews the case in the next Executive Session to protect the confidentiality of those involved. While the subject may provide additional information and perspective during the session, they must recuse themselves from the remainder of the session.
 - a. Should the case require urgent action, the members can request an urgent session of the BOT or its Executive Committee as per the bylaws.
 - b. The Board determines next steps for resolution that may include:
 - i. A mediated meeting between parties
 - ii. A behavior change plan with the member
 - iii. Expulsion from the BOT
4. The BOT informs the subject of the concern and the party raising the concern as to the determined actions and timelines.
5. Once actions have been completed and resolution achieved, the BOT officially closes the case of concern within Executive Session. The BOT member file is updated.