

Suspected Misconduct or Dishonesty

SWCAP strives to maintain a business environment that our clients, employees, volunteers, suppliers, and other community partners experience as fair, ethical and honest. To maintain such an environment requires the every-day involvement of everyone at SWCAP.

SWCAP is committed to the deterrence, detection, and, if it should occur, the correction of misconduct or dishonesty. With this policy, SWCAP encourages anyone to report any suspected occurrence of misconduct or dishonesty. Some organizations label this as their “Whistleblower Policy.” Being diligent about suspected misconduct or dishonesty provides the basis for protecting those who are innocent, for taking appropriate action against those that may be engaged in improper behavior, for referring cases to law enforcement when supported by the facts, and, if there is loss to SWCAP, for recovering assets.

Definitions

For purposes of this policy, misconduct or dishonesty includes, but is not limited to:

- Acts that violate SWCAP’s Code of Conduct, Statement of Values, or expectations stated elsewhere in SWCAP Personnel Policies or in the SWCAP Procurement Policy.
- Theft or other misappropriation of SWCAP assets including assets of SWCAP clients, suppliers or others with whom SWCAP may have a business relationship.
- Misstatements or other irregularities in agency records or reports of performance that are found to be intentional.
- Wrongdoing.
- Forging or otherwise altering documents.
- Fraud or similar acts.

SWCAP forbids and does not tolerate these or any other illegal activities by its executives, management staff, employees or any others charged with carrying-out agency business.

Reporting Suspected Misconduct or Dishonesty

SWCAP staff, board members, and volunteers are charged with immediately reporting any suspected misconduct or dishonesty. Reports of suspected misconduct or dishonesty may be made to the employee’s immediate supervisor, or any manager in the chain or authority leading to the supervisor to whom the employee or volunteer is comfortable making a report. This includes, the Deputy Director, the Executive Director or the Chairperson of the Board of Directors. Anonymous reports may be made directly to the Board Chair by sending an email to boardchair@swcap.org, or by completing a whistleblower complaint form and mailing it to:

Board Chair Confidential
149 N Iowa St
Dodgeville WI 53533

SWCAP strictly prohibits any reprisal against any employee or other person reporting suspected misconduct or dishonesty. Any attempted act of reprisal is subject to harsh disciplinary action, including possible termination of employment.

Responsibilities of Supervisors

Employees with supervisory responsibility of any kind or level and expected to maintain work processes that deter and detect misconduct or dishonesty. Thus, supervisors are expected to:

1. Be aware of what may go wrong in their area of responsibility.
2. Install and maintain procedures for monitoring, reviewing and controlling the work of those being supervised.
3. Install and maintain procedures for detecting and investigating suspected acts of misconduct or dishonesty.

These are responsibilities which cannot be delegated. Supervisors may consult with the Deputy Director for assistance with these additional responsibilities.

Investigation

As may be appropriate to the nature of the report, and preserving confidentiality and discretion, an investigation of a report of suspected misconduct or dishonesty may be conducted by the Executive Director, Deputy Director and/or Finance Director. Any investigation includes:

- Unrestricted access to agency records and facilities.
- Authority to examine, copy and/or re-locate for analysis all or any portion of the contents of files, desks, cabinets or other storage devices – whether physical or electronic – without the knowledge or consent of any individual that may be in possession of the contents – where it is within the scope of the investigation.

Investigations of alleged misconduct or dishonesty are conducted according to applicable law, and according to SWCAP policy.

Follow-up

It is important for those investigating a reported incident to exercise careful discretion to avoid alerting those being investigated that an investigation is underway and to avoid any inappropriate statement that could unduly affect SWCAP, the individual(s) under investigation or anyone related to the investigation.

Summary

Should there be suspected misconduct or dishonesty:

1. Any employee, volunteer or other person affiliated with SWCAP may report suspected misconduct or dishonesty.
2. Suspected misconduct or dishonesty may be reported directly to the Chairperson of the Board of Directors at boardchair@swcap.org.
3. Collect all pertinent facts and information.
4. Do not communicate with those who may be under investigation.
5. SWCAP may seek the advice of legal counsel at any time.
6. Do not disclose the fact of an investigation or the results of an investigation with anyone that does not have a strict need-to-know.
7. Consult with legal counsel should there be:
 - a. An inquiry from an attorney representing another party.
 - b. An inquiry from law enforcement.
 - c. An inquiry from an employee or volunteer under investigation.

SWCAP investigates suspected cases of misconduct or dishonesty without regard to job position or level or other relationship to SWCAP.

Questions or Interpretation

Questions or clarification about this policy should be referred to SWCAP's Deputy Director.