

BOARD PROCESS FOR COMPLAINT AND CONFLICT RESOLUTION**GENERAL STATEMENT:**

- Policy issues get resolved at the Board level.
 - Most other issues that come to Board members should be referred to the appropriate committee or staff member according to job title.
 - Complaints contain the germ of an opportunity for improvement. Our job is to listen and make sure the concern is properly handled.
 - Confidentiality is always an issue.
 - A written record is important.
1. **POLICY RECOMMENDATIONS AND COMPLAINTS.** The Board is the primary source of policy governance. We are always open to concerns, complaints, suggestions and comments around a board policy.
 - a. Example. A CU member complains to a Board member that Alternatives Loan Policy does not allow for a home loan in Yates County.
 - b. Refer to appropriate Board committee and staff liaison to be reconsidered or revised.
 2. **BOARD CONDUCT.** The Board is the arbiter of its own conduct. Complaints between and about Board members have to be resolved by Board process. The President is the leader in this instance.
 - a. Board members might ask what commentators have already done to reach resolution.
 - i. Have you talked to the person?
 - ii. Have you talked to the CEO?
 - iii. Have you talked to the President?
 - b. If unresolved, the complaint will move to the Executive Committee or a Board Executive session, at the President's discretion
 3. **CEO CONDUCT.** The Board is the supervisor of the CEO. Complaints about the CEO come to the Board through the President.
 - a. Reviewed as part of annual review or
 - b. Discussed in Executive session.
 4. **LEGAL ISSUES WHICH COULD RESULT IN LIABILITY.** This includes serious Regulatory and compliance complaints.
 - a. Examples: Sexual harassment, personal injury, Conflict of interest, undue influence, Defalcation, malfeasance, whistle blower.
 - b. These situations are very sensitive and dangerous. Board members should document their conversation and refer the complaint to the CEO, Credit Union Attorney, Supervisory Committee, and/or NCUA examiner as the situation demands. Even if there is apparent resolution, these complaints must be documented.

5. MEMBER COMPLAINTS (non policy). The Board is the elected representative of the member-owners. Service complaints from members should be referred to the CEO, for further referral to appropriate staff.
 - a. Examples: A member complains that they were turned down for a loan due to credit. Don't like decision (within policy), Bad service or Interpersonal behavior, Policy or process not followed
 - b. Thank for bringing to your attention
 - c. Offer to refer the complaint to the CEO.

6. STAFF GRIEVANCES. A Staff grievance should go through the supervisory structure, according to the Employee Handbook policy, quoted below.
 - a. Example: A staff member complains that they got an unsatisfactory review.
 - b. Thank person for bringing this to your attention
 - c. Remind staff of procedure below
 - d. The Board member will refer the complaint to the HR Manager and the CEO.

Interpersonal Grievance (from the Staff Handbook). If a staff person has a work related problem with another individual, please take these steps with appropriate documentation:

- e. Speak directly with the person. If that isn't effective, or if the staff person would like someone else to speak with that person directly,
- f. Talk with staff person's supervisor. If that isn't effective - or supervisor/department head is the person with whom staff is having the problem,
- g. Speak to the Human Resources Director or if that isn't effective or the Human Resources Director is the person with whom staff is having the problem, speak to the Chief Operations Officer. If that isn't effective or the Chief Operations Officer is the person with whom staff is having the problem
- h. Either party can request third party mediation. Alternatives EAP may be utilized at this step. Written documentation of any mediation agreements will be kept confidentially in both parties' files after reviewing with those involved.
- i. In cases where the CEO is not a party, and mediation has been attempted, with little or no results, the CEO will make whatever decision necessary to resolve the grievance.