



Whistleblower Protection Policy

Adopted February 12, 2016

Article 1: Purpose

AIA Cleveland, A Chapter of The American Institute of Architects (AIA CLE) is open and accountable to its members and employees. The AIA CLE Board of Directors expects all AIA CLE volunteers (including, but not limited to board members and committee members), consultants and employees to obey the law and act ethically. It also expects employees to report honestly to their supervisors. It requires that volunteers, consultants and employees contact the Executive Director, Board President or other AIA CLE officers (as appropriate) about any activity that they think might violate law, policy, or ethical standards.

This policy is intended to cover serious concerns that could affect the AIA CLE. These include actions that:

- could lead to inaccurate financial reporting;
- are unlawful, such as fraud, theft, embezzlement, or other illegal activities;
- are inconsistent with policies or procedures;
- otherwise amount to serious misconduct, such as unethical business conduct, other inappropriate conduct, or concerns about employee health risks that are caused by or are otherwise under the control of AIA CLE officers.
- result in the destruction of documents in a manner inconsistent with AIA CLE records retention policy; or
- result in the inappropriate or illegal use of AIA CLE property (e.g., using AIA CLE property for personal gain).

The policy is intended to encourage and enable you and others to raise serious concerns within the AIA CLE before seeking action from outside sources.

Article 2: Protecting Your Confidentiality

Every effort will be made to protect your confidentiality, and AIA CLE will not tolerate harassment or retaliation of any sort against anybody submitting a report under this policy. While anonymous reports will be accepted, you are encouraged to identify yourself in order to strengthen the credibility of your report and to help the follow-up investigation. Malicious or knowingly false reports, however, may result in disciplinary action, up to and including termination of your employment or service as a volunteer.



Article 3: Reporting a Violation

You should follow these guidelines when reporting a violation under this policy:

- Where possible, if you are an employee, you should report the violation initially to the Chief Staff Executive. In most cases, the Executive Director should be in the best position to address an area of concern.
- If you are a volunteer, or if you are an employee who is not comfortable speaking with your supervisor about a violation, you are encouraged to speak with the Board President.
- Except under extraordinary circumstances, the Board President will be informed when a report is received. Other persons may also be notified on a need-to-know basis.

Article 4: Reporting Violations Concerning Fraud or Financial Matters

If the violation you are reporting has to do with fraud or financial misconduct, you may follow the procedures shown above. In the alternative, you may contact the Board Treasurer.

Article 5: Investigation and Report

The following guidelines apply to investigations:

- The Board President has specific and exclusive responsibility to investigate all reported violations. If the Board President finds it appropriate to recuse him/herself, he/she will retain impartial outside counsel or auditors to conduct the investigation.
- To the extent possible, your report will be acknowledged within 5 business days. You will also be informed about next steps and about when you may expect to hear more about the investigation of your reported allegations.
- The Board President will conduct a prompt investigation, while doing everything possible to keep your identity and role confidential. (You should be aware, however, that legal requirements or other circumstances may make it impossible to fully protect confidentiality in some cases.) You will be notified within 2 weeks if a broader investigation appears to be needed.
- You are not expected to prove the truth of your allegations. You should, however, be prepared to be interviewed (unless your report is anonymous) and to submit whatever evidence is available to support the allegations.
- The Board President will submit a written report, which will include a summary of the allegations and his or her recommendations, to the Executive Director, the Executive Committee and any members of the Board who have a reasonable need to review the report. You will be informed about the results of the report.
- Where appropriate, corrective action will be taken. The action taken will depend on how serious the pertinent violation is and may include such things as a warning, a letter of reprimand, suspension with or without pay, or termination of employment. In the case of a volunteer, corrective action may include such things as limitations on the volunteer's opportunity to serve on AIA CLE committees, or the initiation of a complaint with the National Ethics Council, as appropriate.



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Article 6: Contacts of AIA Officers

If the process described above is not followed after you have submitted a report, you may contact the Board President. If you are not comfortable contacting the President, you may contact the President-Elect.

For More Information

If you have any questions, please contact the Executive Director or Board President.