



# AIA United Kingdom

The First International Chapter of the American Institute of Architects

## **The American Institute of Architects**

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## **Whistleblower Policy**

(All members, volunteers and employees of AIA UK)

### Article I Purpose

The AIA United Kingdom Chapter (AIA UK) is open and accountable to its members and employees. The AIA UK Board of Directors expects all AIA UK volunteers and employees to obey the law and act ethically. It requires that volunteers and employees contact senior management, legal counsel, or AIA UK 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 UK. 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 UK management. (Such health concerns might arise, for example, if AIA UK management were to permit asbestos - containing insulation to be removed without properly protecting employees);
- result in the destruction of documents in a manner inconsistent with the AIA UK's records retention policy; or
- result in the inappropriate or illegal use of AIA UK property (e.g., using AIA UK property for personal gain).



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

## Article II Protecting Your Confidentiality

Every effort will be made to protect your confidentiality, and the AIA UK 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 III 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 your direct supervisor. In most cases, your supervisor 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 any member of the AIA UK Board of Directors.
- This policy requires every supervisor or other manager to report suspected violations to a member of the AIA UK Board of Directors. The supervisor should not have anything else to do with the matter unless directed by a Board member.
- Except under extraordinary circumstances, the AIA UK President and Vice President will be informed when a report is received. Other persons may also be notified on a need-to-know basis.



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## Article IV 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 AIA UK's Treasurer.

## Article V Investigation and Report

The following guidelines apply to investigations

- The AIA UK Board of Directors has specific and exclusive responsibility to appoint one of its members to investigate all reported violations. The AIA UK Board of Directors may find it appropriate to recuse certain members, and/or 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 appointee of the AIA UK Board of Directors 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 appointee of the AIA UK Board of Directors will submit a written report, which will include a summary of the allegations and its recommendations, to members of the AIA UK executive management who have a reasonable need to review the report, to the AIA UK officers, and/or to the Board of Directors, as appropriate. 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 UK committees, or the initiation of a complaint with the National Ethics Council, as appropriate.



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## Article VI Contacts of AIA-UK Officers

If the process described above is not followed after you have submitted a report, you may contact the President of the AIA UK. If you are not comfortable contacting the President, you may contact the Vice President.

### For More Information

If you have any questions, please contact the AIA General Counsel (at [jstephens@aia.org](mailto:jstephens@aia.org) or +1.202.626.7379).