

AACT Code of Ethics Complaint Resolution Policy

SUMMARY

1. **Filing of the Complaint** – The process begins with a formal, written and signed, complaint submitted to the President of the Academy, or the President-Elect if the complaint concerns the President.
2. **Initial Review/Jurisdiction Check** – The AACT Executive Committee reviews the complaint to ensure it falls within its jurisdiction and meets the basic requirements for a proper complaint.
3. **Investigation** – If the complaint is deemed sufficient, an investigation begins. Evidence is gathered and analyzed to determine the facts.
4. **Deliberation and Determination** – The Ethics Review Committee reviews all supporting evidence and documents and makes a recommended finding as to whether a violation occurred. The AACT Board of Trustees shall make the final determination regarding whether a violation of the Code of Ethics has occurred.
5. **Sanctions and Corrective Action** – If a violation is found, appropriate sanctions are determined and imposed.
6. **Appeal** – A respondent found to have violated the AACT Code of Ethics may submit a written appeal of the determination and/or corrective action imposed by the AACT Board of Trustees

PROCESS

1. **Filing of the complaint**
 - a. Complaints under this Policy may only be submitted by the individual directly involved in or personally affected by the alleged conduct. Anonymous complaints and/or third-party complaints, including those submitted on behalf of another individual, will not be accepted unless otherwise expressly authorized by the AACT Board of Trustees.
 - b. The complaint shall be submitted in writing to the President of the Academy, along with any supporting documentation or evidence. If the complaint concerns the President, the complaint shall instead be submitted in writing to the President-Elect.
 - c. The complaint shall meet the following criteria:
 - i. Provide the full name and contact information of the person submitting the complaint.
 - ii. Clearly describe the facts that support the alleged violation of the AACT Code of Ethics, including the identification of any known witnesses. Individuals identified as witnesses who are AACT members may be notified that they have been named in connection with the complaint.
 - iii. Clearly identify the individual, group, or entity alleged to have violated the AACT Code of Ethics.
 - iv. Include any supporting documentation or evidence available to support the complaint.

2. Complaint review

- a. Within 30 days of receipt, the AACT Executive Committee will review the complaint to confirm that it meets the filing criteria and describes conduct that may constitute a violation of the Code of Ethics.
- b. If the complaint does not meet the filing criteria, the complainant will be provided one (1) opportunity to revise and resubmit the complaint.
- c. Upon review of the complaint and Executive Committee determination that it meets the filing criteria, the complaint will be sent to the AACT Ethics Review Committee for investigation and recommended finding.

3. Ethics Review Committee

- a. The Ethics Review Committee shall be composed of five (5) voting members appointed by the President of the Academy, each serving two (2) year terms:
 - i. The AACT Immediate Past President shall serve as the Ethics Review Committee Chair and will serve in this role during their two-year term as Immediate Past President.
 - ii. Two (2) non-Executive Committee Trustees serving staggered two (2) year terms, with terms beginning and ending in alternating years.
 - iii. Two (2) Fellows of the Academy serving staggered two (2) year terms, with terms beginning and ending in alternating years.

4. Investigation

- a. The investigation shall be conducted by the Ethics Review Committee.
- b. Process shall include:
 - i. Notification of the respondent and collection of the response/documentation within 30 days of notification
 - ii. Interviews with the complainant, respondent, and witnesses
 - iii. Review of submitted materials by both parties

5. Deliberation and Determination

- a. The Ethics Review Committee reviews all supporting evidence and documents and makes a recommended finding as to whether a violation occurred.
- b. Summary of investigation and determination is presented to the AACT Board of Trustees
- c. The AACT Board of Trustees shall make the final determination regarding whether a violation of the Code of Ethics has occurred. Such determination shall require a three-fourths (3/4) vote of the voting members of the Board of Trustees. The Board may, at its discretion, provide the complainant, respondent, and any witnesses the opportunity to address the Board directly.
- d. Determination will be submitted in writing to both the respondent and the complainant.

6. Sanctions/Corrective Action

- a. Follows determination of an ethics violation.
- b. The AACT Board of Trustees shall determine appropriate corrective action, which may include, but is not limited to, educational requirements, suspension of membership, revocation of Fellow status, and/or expulsion from the Academy.
- c. Any and all corrective actions determined by the AACT Board of Trustees shall be documented and provided in writing to the respondent within thirty (30) days of the final determination.

7. Appeals

- a. A respondent found to have violated the AACT Code of Ethics may submit a written appeal of the determination and/or corrective action imposed by the AACT Board of Trustees.
- b. Any appeal must be submitted in writing within thirty (30) days of the respondent's receipt of the final written determination and corrective action.
- c. The appeal must clearly state the basis for the appeal and include any supporting documentation. Grounds for appeal may include:
 - i. Procedural error that materially affected the outcome;
 - ii. New information not reasonably available at the time of the investigation;
 - iii. Evidence of bias or conflict of interest; and/or
 - iv. A claim that the corrective action imposed was disproportionate to the violation.
- d. Appeals shall be reviewed by the AACT Executive Committee, excluding any individual who participated in the original investigation, deliberation, or determination, or who otherwise has a conflict of interest.
- e. The Executive Committee may affirm, modify, overturn, or remand the matter for further review.
- f. The decision of the Executive Committee on appeal shall be final.

FLWSHEET

