Appendix A: Regulations for Professional Registration and Revalidation (revised with effect 1 December 13)

Appendix B: Ethical Principles, Code of Professional Practice, Disciplinary Regulations (revised with effect 22 September 2011)

(Appendices D and E deleted November 2014, Appendix C deleted June 2017)
Appendix A
Regulations for Professional Registration and Revalidation

Established in December 2013.

Relating to bye-laws 11, 12 and 15

NOTE: These Regulations were approved by CILIP Council in September 2013. They are explained in a set of handbooks for members interested in working towards Certification (ACLIP), Chartered Membership (MCLIP) and Fellowship (FCLIP) and revalidation. All of these are available on the CILIP website. References to appendices etc. are to additional documents that are available as separate documents on the website. The Regulations apply from 1 December 2013

Section 1: Gaining CILIP Certification

2013 Regulations drawn up under Bye-law 11

1 Registration

All applicants must be current members of CILIP.

Members are able to enrol online via the CILIP website at: www.cilip.org.uk/professionalregistration

2 Application

Each applicant will submit a portfolio including:

- Evaluative statement (Maximum 1,000 words)
- Evidence to support evaluative statement
- Curriculum Vitae
- Job description
- Initial PKSB assessment
- Current PKSB assessment
- Mentor/Mentee Agreement Form
- Mentor/Mentee Completion Form

The evaluative statement must address the assessment criteria outlined in Section 3.

2.1 Notes on submission

All applications should be made via the CILIP Virtual Learning Environment. Hardcopy applications will be accepted where reasonable adjustments need to be made. Candidates should discuss this in advance with CILIP staff.
• All applications must be in the English or Welsh language
• All supporting evidence should be word processed

2.2 Confidentiality
All applications (electronic and hard copy) will be stored and treated in a confidential manner by the Professional Registration and Accreditation Board.

3 Assessment
All applications are assessed by the CILIP Professional Registration and Accreditation Board that is appointed by CILIP Council.

Assessment will be carried out against clearly identified criteria to ensure transparency and consistency of practice to all candidates.

All applicants will be notified of the outcome within ten working days of the date of the Professional Registration and Accreditation Board meeting.

3.1 Assessment criteria
Members need to demonstrate they have:
1. Identified areas for improvement in their personal performance and undertaken activities to develop skills and enhance knowledge
2. Considered the organisational context of their service and examined their role within the organisation
3. Enhanced their knowledge of information services in order to understand the wider professional context within which they work

3.2 Form of assessment
The Professional Registration and Accreditation Board will determine an appropriate method for the additional assessment of any application, where necessary, which may include one or more of the following:
(a) a request for additional written information
(b) a professional interview of the candidate (where the Board is making reasonable adjustments for the candidate)

3.3 Admission to the Register of Certified Members
The date of admission to the register will normally be that on which the CILIP Professional Registration and Accreditation Board accepts the application.

Once admitted to the Register you must remain in membership of CILIP to retain the use of the post nominal letters ACLIP and to describe yourself as a Certified Member.
4 Appeals
Candidates whose applications are rejected have a right of Appeal, according to procedures approved by Council. A copy of the Appeals Procedures will be sent to unsuccessful candidates. (See Appendix 1 to these Regulations).

5 Reinstatement to the register
Any member re-joining CILIP who has previously achieved certification will be eligible to be reinstated onto the register of practitioners.

Members will be asked to revalidate in order to demonstrate that they have been maintaining their Continuing Professional Development whilst not in membership.

On successful completion, members will be re-instated and will be able to use their postnominals again.

6 Fees and charges
The fees for enrolment and submission will be determined annually by CILIP AGM.

7 Appendices
Appendix 1 Appeals procedure

1) An appeal may be made against a decision of the Professional Registration and Accreditation Board not to accept a candidate’s Application for Certification.

2) A candidate whose submission is not accepted will be sent the following documents:-
   (a) A letter informing the candidate of the decision and the date of the Professional Registration and Accreditation Board meeting at which it was made.
   (b) A copy of the assessment feedback from Board members, setting out the reasons for rejection.
   (c) A copy of this Appeals Procedure.

3) A candidate who wishes to appeal against the decision of the Assessment Panel must do so within six weeks of the date of receipt of the letter referred to in 2. The Appeal must be made in writing to the Director of Professional Services and should state the grounds and reasons for the appeal.

4) The only grounds on which an Appeal may be made are:
   (a) That all or part of the information used by the Assessment Panel was biased or incorrect due to no fault of the candidate and that the Panel did not know this at the time it took its decision.
   (b) That the Assessment Panel failed to follow its own published procedures and that this materially affected its decision.
   (c) The candidate wishes to challenge the decision of the Professional Registration and Accreditation Board; believing they fully meet the assessment criteria
5) In the case of an appeal based on grounds stated in 4(a) and 4(b) above, the Director of Professional Services will decide whether there is a case for appeal. Where there is not s/he will inform the candidate of the reason for his ruling. In such cases there will be no further appeal.

6) Where there is a case for appeal the Director of Professional Services will instruct a reassessment of the application by the Professional Registration and Accreditation Board.

7) In the case of an appeal based on grounds stated in 4(c), the Director of Professional Services will ask the external examiners to review the appeal to decide whether there is a case. Where there is not, the Director of Professional Services will inform the candidate of the reason for the decision. In such cases there will be no further appeal.

8) Where external examiners have agreed there is a case for appeal the Director of Professional Services will instruct a reassessment of the application by the Professional Registration and Accreditation Board.

9) Where the Professional Registration and Accreditation Board have been asked to reassess an application, the Director of Professional Services will inform the candidate of the final Board decision.

10) All candidates are eligible to reapply.
Section 2: Gaining Chartered Membership

*Regulations drawn up under Bye-law 11*

1 Registration

All applicants must be current members of CILIP.

Members are able to enrol online via the CILIP website at www.cilip.org.uk/professionalregistration

2 Application

Each applicant will submit a portfolio including:

- Evaluative statement (Maximum 1,000 words)
- Evidence to support evaluative statement
- Curriculum Vitae
- Job description
- Initial PKSB assessment
- Current PKSB assessment
- Mentor/Mentee Agreement Form
- Mentor/Mentee Completion Form

The evaluative statement must address the assessment criteria outlined in Section 3.

2.1 Notes on submission

- All applications should be made via the CILIP Virtual Learning Environment. Hardcopy applications will be accepted where reasonable adjustments need to be made. Candidates should discuss this in advance with CILIP staff.
- All applications must be in the English or Welsh language
- All supporting evidence should be word processed

2.2 Confidentiality

All applications (electronic and hard copy) will be stored and treated in a confidential manner by the Professional Registration and Accreditation Board.

3 Assessment

All applications are assessed by the CILIP Professional Registration and Accreditation Board that is appointed by CILIP Council.

Assessment will be carried out against clearly identified criteria to ensure transparency and consistency of practice to all candidates.
All applicants will be notified of the outcome within ten working days of the date of the Professional Registration and Accreditation Board meeting.

3.1 Assessment criteria
Members need to demonstrate they have:
1. Identified areas for improvement in their personal performance, undertaken activities to develop skills, applied these in practice, and reflected on the process and outcomes
2. Examined the organisational context of their service, evaluated service performance, shown the ability to implement or recommend improvement, and reflected on actual or desired outcomes
3. Enhanced their knowledge of the wider professional context and reflected on areas of current interest

3.2 Forms of assessment
The Professional Registration and Accreditation Board will determine an appropriate method for the additional assessment of any application, where necessary, which may include one or more of the following:
(a) a request for additional written information
(b) a professional interview of the candidate (where the Board is making reasonable adjustments for the candidate)

4.3 Admission to the Register of Chartered Members
The date of admission to the register will normally be that on which the Professional Registration and Accreditation Board accepts the application.

Once admitted to the Register you must remain in membership of CILIP to retain the use of the post nominal letters MCLIP and to describe yourself as a Chartered Member.

5 Reinstatement to the register
Any member re-joining CILIP who has previously achieved chartership will be eligible to be reinstated onto the register of practitioners.

Members will be asked to revalidate in order to demonstrate that they have been maintaining their Continuing Professional Development whilst not in membership.

On successful completion, members will be re-instated and will be able to use their postnominals again.

6 Fees and charges
The fees for enrolment and submission will be determined annually by CILIP AGM.
7 Appendices

Appendix 1 Appeals procedure

1) An appeal may be made against a decision of the Professional Registration and Accreditation Board not to accept a candidate’s Application for Chartership.

2) A candidate whose submission is not accepted will be sent the following documents:-
   (a) A letter informing the candidate of the decision and the date of the Professional Registration and Accreditation Board meeting at which it was made.
   (b) A copy of the assessment feedback from Board members, setting out the reasons for rejection.
   (c) A copy of this Appeals Procedure.

3) A candidate who wishes to appeal against the decision of the Assessment Panel must do so within six weeks of the date of receipt of the letter referred to in 2. The Appeal must be made in writing to the Director of Professional Services and should state the grounds and reasons for the appeal.

4) The only grounds on which an Appeal may be made are:
   (a) That all or part of the information used by the Assessment Panel was biased or incorrect due to no fault of the candidate and that the Panel did not know this at the time it took its decision.
   (b) That the Assessment Panel failed to follow its own published procedures and that this materially affected its decision.
   (c) The candidate wishes to challenge the decision of the Professional Registration and Accreditation Board; believing they fully meet the assessment criteria.

5) In the case of an appeal based on grounds stated in 4(a) and 4(b) above, the Director of Professional Services will decide whether there is a case for appeal. Where there is not s/he will inform the candidate of the reason for his ruling. In such cases there will be no further appeal.

6) Where there is a case for appeal the Director of Professional Services will instruct a reassessment of the application by the Professional Registration and Accreditation Board.

7) In the case of an appeal based on grounds stated in 4(c), the Director of Professional Services will ask the external examiners to review the appeal to decide whether there is a case. Where there is not, the Director of Professional Services will inform the candidate of the reason for the decision. In such cases there will be no further appeal.

8) Where external examiners have agreed there is a case for appeal the Director of Professional Services will instruct a reassessment of the application by the Professional Registration and Accreditation Board.

9) Where the Professional Registration and Accreditation Board have been asked to reassess an application, the Director of Professional Services will inform the candidate of the final Board decision.

10) All candidates are eligible to reapply.
Section 3: Chartered Fellow

*Regulations drawn up under Bye-law 11*

1 Registration

All applicants must be current members of CILIP.

Members are able to enrol online via the CILIP website at www.cilip.org.uk/professionalregistration

2 Application

Each applicant will submit a portfolio including:

- Evaluative statement (Maximum 1,000 words)
- Evidence to support evaluative statement
- Curriculum Vitae
- Job description
- Initial PKSB assessment
- Current PKSB assessment
- Supporting letters of which one must be from the mentor

The evaluative statement must address the assessment criteria outlined in Section 3.

2.1 Notes on submission

- All applications should be made via the CILIP Virtual Learning Environment. Hardcopy applications will be accepted where reasonable adjustments need to be made. Candidates should discuss this in advance with CILIP staff.
- All applications must be in the English or Welsh language
- All supporting evidence should be word processed

2.2 Confidentiality

All applications (electronic and hard copy) will be stored and treated in a confidential manner by the Professional Registration and Accreditation Board.

3 Assessment

All applications are assessed by the CILIP Professional Registration and Accreditation Board that is appointed by CILIP Council.

Assessment will be carried out against clearly identified criteria to ensure transparency and consistency of practice to all candidates.

All applicants will be notified of the outcome within ten working days of the date of the Professional Registration and Accreditation Board meeting.
3.1 Assessment Criteria

Members need to demonstrate they have:

1. Identified areas for improvement in their personal performance, undertaken activities to develop skills, applied these in practice, and reflected on the process and outcomes
2. Examined the organisational context of their work and evidenced substantial achievement in professional practice
3. Established their commitment to, and enhanced their knowledge of, the information professions in order to have made a significant contribution to all or part of the profession(s)

4.2 Forms of Assessment

The Professional Registration and Accreditation Board will determine an appropriate method for the additional assessment of any application, where necessary, which may include one or more of the following:

(a) a request for additional written information from either the candidate or a referee
(b) a professional interview of the candidate (where the Board is making reasonable adjustments for the candidate)

4.3 Admission to the Register

Date of Registration as a Fellow will normally be that on which the Professional Registration and Accreditation Board accepts the application.

Once admitted to the Register you must remain in membership of CILIP in order to retain your post-nominal letters and to describe yourself as a Chartered Fellow.

5 Reinstatement to the register of Chartered Fellows

Any member re-joining CILIP who has previously achieved fellowship will be eligible to be reinstated onto the register of practitioners.

Members will be asked to revalidate in order to demonstrate that they have been maintaining their Continuing Professional Development whilst not in membership.

On successful completion, members will be re-instated and will be able to use their postnominals again.

6 Fees and charges

The fees for enrolment and submission will be determined annually by CILIP AGM.
7 Appendices

Appendix 1 Appeals procedure

1) An appeal may be made against a decision of the Professional Registration and Accreditation Board not to accept a candidate’s Application for Chartership.

2) A candidate whose submission is not accepted will be sent the following documents:
   (a) A letter informing the candidate of the decision and the date of the Professional Registration and Accreditation Board meeting at which it was made.
   (b) A copy of the assessment feedback from Board members, setting out the reasons for rejection.
   (c) A copy of this Appeals Procedure.

3) A candidate who wishes to appeal against the decision of the Assessment Panel must do so within six weeks of the date of receipt of the letter referred to in 2. The Appeal must be made in writing to the Director of Professional Services and should state the grounds and reasons for the appeal.

4) The only grounds on which an Appeal may be made are:
   (a) That all or part of the information used by the Assessment Panel was biased or incorrect due to no fault of the candidate and that the Panel did not know this at the time it took its decision.
   (b) That the Assessment Panel failed to follow its own published procedures and that this materially affected its decision.
   (c) The candidate wishes to challenge the decision of the Professional Registration and Accreditation Board; believing they fully meet the assessment criteria

5) In the case of an appeal based on grounds stated in 4(a) and 4(b) above, the Director of Professional Services will decide whether there is a case for appeal. Where there is not s/he will inform the candidate of the reason for his ruling. In such cases there will be no further appeal.

6) Where there is a case for appeal the Director of Professional Services will instruct a reassessment of the application by the Professional Registration and Accreditation Board.

7) In the case of an appeal based on grounds stated in 4(c), the Director of Professional Services will ask the external examiners to review the appeal to decide whether there is a case. Where there is not, the Director of Professional Services will inform the candidate of the reason for the decision. In such cases there will be no further appeal.

8) Where external examiners have agreed there is a case for appeal the Director of Professional Services will instruct a reassessment of the application by the Professional Registration and Accreditation Board.

9) Where the Professional Registration and Accreditation Board have been asked to reassess an application, the Director of Professional Services will inform the candidate of the final Board decision.

10) All candidates are eligible to reapply.
Section 4: CILIP Revalidation Scheme

Regulations drawn up under Bye-law 11

1 Registration
All applicants must be current members of CILIP.

Members are able to enrol online via the CILIP website at www.cilip.org.uk/professionalregistration

2 Application

2.1 Form of application
Each applicant will submit:

a. A CPD log
b. A statement reflecting on how development activities have contributed to their professional practice for the level being revalidated (Maximum 250 words)

2.2 Notes on Submission

- All applications should be made via the CILIP Virtual Learning Environment. Hardcopy applications will be accepted where reasonable adjustments need to be made. Candidates should discuss this in advance with CILIP staff.
- All applications must be in the English or Welsh language

2.2 Confidentiality
All applications (electronic and hard copy) will be stored and treated in a confidential manner by the Professional Registration and Accreditation Board.

3 Assessment
All applications are assessed by the CILIP Professional Registration and Accreditation Board that is appointed by CILIP Council.

Assessment will be carried out against clearly identified criteria to ensure transparency and consistency of practice to all candidates.

All applicants will be notified of the outcome immediately following assessment.

3.1 Criteria of assessment
Members need to demonstrate they have:

1. Spent a minimum of 20 hours per year on personal and professional development
2. Reflected on how development activities have contributed to their professional practice for the level being revalidated
Appendix B

Ethical Principles — established July 2004
Code of Professional Practice — established July 2004
CILIP Disciplinary Regulations — established September 2011

Introduction

Library and information professionals are frequently the essential link between information users and the information or piece of literature which they require. They therefore occupy a privileged position which carries corresponding responsibilities. In addition, whether they are self-employed or employed, their position is sometimes a sensitive one, which may impose a need to balance conflicting requirements.

The purpose of the Principles and Code which follow this introduction is to provide a framework to help library and information professionals, who are members of CILIP, to manage the responsibilities and sensitivities which figure prominently in their work. There is a statement of Ethical Principles and a more extended Code of Professional Practice, which applies these principles to the different groups and professionals to which our members must relate. The Code also makes some additional points with regard to professional behaviour. Given the diversity of the information profession, it is inevitable that not every statement in the Code of Professional Practice will be equally applicable to every member of CILIP. However, the Ethical Principles ought to command more general support, even though some members may not feel the force of each one of them to the same extent in their day-to-day experience. The Principles and Code assume that respect for duly enacted law is a fundamental responsibility for everybody.

By the terms of its Royal Charter, CILIP has a responsibility to 'the public good'. It is therefore anticipated that our Ethical Principles and our Code of Professional Practice may be of interest well beyond the immediate limits of the membership of CILIP, both to those whose work bears close comparison with ours, and also to those who may, from time to time, want a clear statement of our ethical principles and what we consider to be good professional practice.

Associated with these Principles and Code, there is a growing collection of practical examples, illustrating how information professionals and others can use the Principles and Code to help them cope with ethical dilemmas they may face. In further support of the Principles and Code, CILIP has established an Ethics Panel of experienced members of the profession, and they and the professional staff of CILIP are available to members who may need additional help in resolving ethical issues.

CILIP’s Disciplinary Regulations provide that a Member will be guilty of professional misconduct if he/she has acted contrary to the aims, objects and interests of CILIP or in a manner unbecoming or prejudicial to the profession. In reaching decisions under the Disciplinary Procedure, regard will be had to the Statement of Ethical Principles and the Code of Professional Practice and Members should therefore be aware that failure to
comply with the *Principles* and *Code* may, depending on the circumstances, be a ground for disciplinary action.

**Ethical Principles for Library and Information Professionals**

The conduct of members should be characterised by the following general principles, presented here in no particular order of priority:

1. Concern for the public good in all professional matters, including respect for diversity within society, and the promoting of equal opportunities and human rights.
2. Concern for the good reputation of the information profession.
3. Commitment to the defence, and the advancement, of access to information, ideas and works of the imagination.
4. Provision of the best possible service within available resources.
5. Concern for balancing the needs of actual and potential users and the reasonable demands of employers.
6. Equitable treatment of all information users.
7. Impartiality, and avoidance of inappropriate bias, in acquiring and evaluating information and in mediating it to other information users.
8. Respect for confidentiality and privacy in dealing with information users.
9. Concern for the conservation and preservation of our information heritage in all formats.
10. Respect for, and understanding of, the integrity of information items and for the intellectual effort of those who created them.
11. Commitment to maintaining and improving personal professional knowledge, skills and competences.
12. Respect for the skills and competences of all others, whether information professionals or information users, employers or colleagues.

**Code of Professional Practice for Library and Information Professionals**

This Code applies the ethical principles to the different groups and interests to which CILIP members must relate. The Code also makes some additional points with regard to professional behaviour. The principles and values will differ in their relative importance according to context.

**A Personal Responsibilities**

*People who work in the information profession have personal responsibilities which go beyond those immediately implied by their contract with their employers or clients. Members should therefore:*

1. strive to attain the highest personal standard of professional knowledge and competence
2. ensure they are competent in those branches of professional practice in which qualifications and/or experience entitle them to engage by keeping abreast of developments in their areas of expertise
3. claim expertise in areas of library and information work or in other disciplines only where their skills and knowledge are adequate

B - Responsibilities to Information and its Users

The behaviour of professionals who work with information should be guided by a regard for the interests and needs of information users. People working in the information profession also need to be conscious that they have responsibility for a growing heritage of information and data, irrespective of format. This includes works of the imagination as well as factual data. Members should therefore:

1. ensure that information users are aware of the scope and remit of the service being provided
2. make the process of providing information, and the standards and procedures governing that process, as clear and open as possible
3. avoid inappropriate bias or value judgements in the provision of services
4. protect the confidentiality of all matters relating to information users, including their enquiries, any services to be provided, and any aspects of the users' personal circumstances or business
5. deal fairly with the competing needs of information users, and resolve conflicting priorities with due regard for the urgency and importance of the matters being considered
6. deal promptly and fairly with any complaints from information users, and keep them informed about progress in the handling of their complaints.
7. ensure that the information systems and services for which they are responsible are the most effective, within the resources available, in meeting the needs of users
8. ensure that the materials to which they provide access are those which are most appropriate to the needs of legitimate users of the service
9. defend the legitimate needs and interests of information users, while upholding the moral and legal rights of the creators and distributors of intellectual property
10. respect the integrity of information sources, and cite sources used, as appropriate
11. show an appropriate concern for the future information needs of society through the long term preservation and conservation of materials as required, as well as an understanding of proper records management.

C - Responsibilities to Colleagues and the Information Community

The personal conduct of information professionals at work should promote the profession in the best possible manner at all times. Members should therefore:

1. act in ways that promote the profession positively, both to their colleagues and to the public at large
2. afford respect and understanding to other colleagues and professionals and acknowledge their ideas, contributions and work, wherever and whenever appropriate

3. refer to colleagues in a professional manner and not discredit or criticise their work unreasonably or inappropriately

4. when working in an independent capacity, conduct their business in a professional manner that respects the legitimate rights and interests of others

5. encourage colleagues, especially those for whom they have a line-management responsibility, to maintain and enhance their professional knowledge and competence

6. refrain from ascribing views to, or speaking on behalf of, CILIP, unless specifically authorised to do so

7. report significant breaches of this Code to the appropriate authorities1

8. refrain from any behaviour in the course of their work which might bring the information profession into disrepute.

D Responsibilities to Society

One of the distinguishing features of professions is that their knowledge and skills are at the service of society at large, and do not simply serve the interests of the immediate customer. Members should therefore:

1. consider the public good, both in general and as it refers to particular vulnerable groups, as well as the immediate claims arising from their employment and their professional duties

2. promote equitable access for all members of society to public domain information of all kinds and in all formats

3. strive to achieve an appropriate balance within the law between demands from information users, the need to respect confidentiality, the terms of their employment, the public good and the responsibilities outlined in this Code

4. encourage and promote wider knowledge and acceptance of, and wider compliance with, this Code, both among colleagues in the information professions and more widely among those whom we serve.

E Responsibilities as Employees

Members who are employed have duties that go beyond the immediate terms of their employment contract. On occasion these may conflict with the immediate demands of their employer but be in the broader interest of the public and possibly the employer themselves.2 Members should therefore:

1. develop a knowledge and understanding of the organisation in which they work and use their skills and expertise to promote the legitimate aims and objectives of their employer

2. avoid engaging in unethical practices during their work and bring to the attention of their employer any concerns they may have concerning the ethics or legality of specific decisions, actions or behaviour at work.
1 - The appropriate authority will vary depending on the context of the case. It may be CILIP, the employer, a regulatory body or an officer managing the 'whistle-blowing' procedure or some other body. It is not possible to be prescriptive.

2 - It is recognised that sometimes Members, acting as a representative of employers, have to make decisions that may impact adversely on levels of service or the employment of staff. This is not in itself unethical behaviour but there might be circumstances in which it could be - the lawfulness of the action or the way it is managed, for instance.
CILIP Disciplinary Regulations

Preamble

Professional practice is shaped by two key elements: knowledge and skills; ethics and conduct. As the regulatory body for library and information practice in the UK, CILIP provides a framework of qualification and accreditation to benchmark the knowledge and skills of professional practitioners. CILIP also prescribes a set of ethical principles and a code of professional conduct to benchmark the behaviour of professional practitioners. These disciplinary regulations set out the procedures to be followed when a complaint is made about the professional conduct of a CILIP member.

Introduction

1. These regulations were made by the Council on 22 September 2011. They came into force on that date, superseding all previous disciplinary regulations.

2. These regulations set out the procedures to be followed in the investigation and adjudication of any complaint that a Member may have acted in a manner contrary to the aims, objects and interests of CILIP or otherwise contrary to its Charter, Bye-Laws or Regulations, or in a manner prejudicial to his/her professional status or the reputation of CILIP. They are intended therefore to cover issues relating to the professional conduct of a Member. It will not normally be within the scope of these regulations to consider alleged grievances against a Member which are of an employment or contractual nature.

3. Members are required to comply at all times with the ethical principles and Code of Professional Practice prescribed and published by CILIP. At all stages of these disciplinary procedures, regard will be had to any such ethical principles and/or Code of Professional Practice in force at the time of the conduct which is the subject of the complaint. Failure to comply with any such ethical principles or Code may be a ground for disciplinary action.

4. These regulations relate to the conduct of Individual Members (but not Organisation Members) of CILIP.

5. There are broadly four stages to these Regulations: (1) a complaint is made and investigated; (2) if there is a case to answer, a consent order may be offered or a disciplinary hearing is held; (3) there is a right of appeal against the outcome of a disciplinary hearing; and (4) a decision to suspend or expel a Member must also be endorsed by the Council.

Invoking the disciplinary procedure

6. A member of CILIP or any other person may make a formal complaint in writing to CILIP (by email or letter to the Chief Executive) concerning the professional conduct of a Member.

7. The Chief Executive (or his/her nominee) shall if possible acknowledge a formal complaint within seven working days of receipt.
8. Where the Chief Executive (in consultation with the President) deems it appropriate, the complaint will be investigated under these regulations provided that it is made within six months from the time when it arose.

9. CILIP can itself initiate a complaint where the Chief Executive becomes aware of any fact or matter concerning the professional conduct of a Member which in his/her opinion (in consultation with the President) warrants investigation under these regulations.

Grounds for disciplinary action

10. It shall be a ground for disciplinary action if a Member is guilty of professional misconduct. This is defined as a Member having acted:

   (i) contrary to the aims, objects and interests of CILIP, or otherwise contrary to its Charter, Bye-Laws or Regulations or

   (ii) in a manner prejudicial to his/her professional status or the reputation of CILIP.

Stage I - disciplinary investigation

Appointment of an investigating officer

11. Where a complaint or matter is to be investigated, the President shall appoint an Investigating Officer to consider the matter further.

12. The Investigating Officer shall be a member of the Disciplinary Panel (other than the President and Chair) who has no interest in the matter and has received appropriate training in the role.

13. Notwithstanding the requirement for the annual appointment of members to the Disciplinary Panel, an Investigating Officer shall continue in that role until the matter he/she was appointed to deal with has been concluded.

Duties and powers of the investigating officer

14. The Investigating Officer shall consider the matter and decide whether or not in his/her opinion there is a case to be answered, and if there is then whether to proceed under paragraph 20(ii) or (iii) below.

15. In considering the matter, the Investigating Officer shall make such inquiries as he/she considers necessary to establish the facts and circumstances by whatever means he/she considers appropriate, including requesting a response from the Member within a specified period of not less than ten working days.

16. The Member shall be informed, upon the raising of any questions with him/her, that such questions are asked in connection with possible disciplinary proceedings.

17. The Member is expected to comply with the reasonable requirements of the Investigating Officer.

18. The identity of the complainant shall be made known to the Member unless the Investigating Officer determines that there are compelling reasons why the
complainant should not be identified taking into account, amongst other things, the need for the Member to fully understand the nature of the complaint against him/her.

19. The Investigating Officer shall seek to complete his/her inquiries within thirty working days of the matter being referred to him/her. CILIP will keep the complainant and the Member informed of the timetable.

20. Upon completion of the investigation, the Investigating Officer shall decide whether in his/her opinion:

(i) there is no case to answer; or

(ii) there is a case to answer and the Member to be invited to consent to a disciplinary order imposing a written warning and/or written reprimand under paragraph 30 below; or

(iii) there is a case to answer and the matter to proceed to a disciplinary hearing under paragraph 31 below.

The investigating officer’s decision – no case to answer

21. If the Investigating Officer decides that there is no case to answer, the complainant (if applicable) will be informed, giving him/her brief written reasons for the decision and notifying him/her in writing of his/her right to request a review of the decision.

22. CILIP shall at the same time inform the Member of the decision in writing with brief written reasons, advising him/her that the complainant has the right to ask for a review of the decision, and therefore that the matter may be reviewed.

Review of decision

23. Provided the complainant makes his/her request for a review in writing and within twenty working days from the date of the notification sent to him/her under paragraph 21 above, the Investigation Officer’s decision will be reviewed by the Vice-President or if he/she is not available, by a Past President (the reviewer).

24. The Investigation Officer’s decision will be reviewed on the basis of the written request for the review together with the papers that were before the Investigating Officer when he/she reached his/her decision. If possible, the review will be carried out within thirty working days of receipt of the request for a review.

25. The outcome of the review will be:

(i) To confirm the decision of the Investigating Officer that there is no case to answer; or

(ii) To remit the matter back to the Investigating Officer for reconsideration if the reviewer is of the opinion that one or more of the following apply:

(a) Fresh evidence of a material nature has become available to the complainant since the Investigation Officer’s decision; or
(b) The Investigating Officer's decision was not one which could reasonably have been arrived at upon due consideration of the facts and matters before him/her; or

(c) The Investigating Officer was biased; or

(d) The Investigating Officer did not adequately investigate the complaint in accordance with these regulations.

26. CILIP shall inform both the Member and the complainant of the review decision. There shall be no right of appeal by any party against the review decision.

27. Where the reviewer remits the matter for reconsideration under paragraph 25(ii) c above, the President shall appoint a different Investigating Officer to reconsider the matter.

28. In reconsidering any matter, the Investigating Officer must have regard to any written reasons given by the reviewer for remitting the matter.

29. If, after reconsideration of the matter, the Investigating Officer decides again that there is no case to answer, there shall be no further right of review.

The Investigating Officer's decision – case to answer (with offer of consent order)

30. If the Investigating Officer decides that there is a case to answer under paragraph 20(ii) above:

30.1 CILIP will write to the Member outlining the alleged conduct or circumstances alleged to amount to professional misconduct with brief written reasons for the decision, inviting him/her to respond in writing within 20 working days consenting to a disciplinary order imposing a written warning and/or a written reprimand (but no other form of disciplinary action).

30.2 If the Member gives his/her written consent within 20 working days, CILIP will make the disciplinary order as proposed by CILIP and consented to by the Member.

30.3 If the Member either refuses consent or does not reply within 20 working days, the matter will proceed to a hearing under paragraph 31 below.

30.4 CILIP will keep the complainant informed of actions taken under this paragraph with brief written reasons for any disciplinary order made under paragraph 30.2 above.

The Investigating Officer's decision – Case to answer (at disciplinary hearing)

31. If the Investigating Officer decides that there is a case to answer under paragraph 20(iii) above (or if paragraph 30.3 applies):

31.1 CILIP will inform the Member and the complainant in writing that the matter will proceed to a disciplinary hearing.

31.2 The matter will be referred to the Chair of the Disciplinary Panel.

Stage II - disciplinary hearing
32. Upon receiving a referral under paragraph 31.2 above, the Chair of the Disciplinary Panel shall appoint a Disciplinary Hearing Group (DHG) to hear the matter.

**Composition of the disciplinary hearing group (DHG)**

33. In each case, the DHG shall comprise any three members of the Disciplinary Panel, including the Chair of the Disciplinary Panel, who have not served in the same matter and who have no interest in the matter.

34. The Chair of the Disciplinary Panel shall chair the DHG. If the Chair of the Disciplinary Panel has an interest in the matter or if for any other reason he/she is unable to sit on the DHG, he/she will nominate a third member of the DHG in his/her place (from among the members of the Disciplinary Panel) and will then nominate one of the three members of the DHG to serve as Chair.

35. Notwithstanding the requirement for the annual appointment of members to the Disciplinary Panel, a DHG shall continue with its original membership until it has concluded the matter it was appointed to deal with.

**The parties in the proceedings before the DHG**

36. The Investigating Officer shall, on behalf of CILIP, present the case before the DHG, and for this purpose may instruct a representative (who may be legally qualified). Any costs incurred are to be borne by CILIP.

37. The Member shall be entitled to be represented by any person (who may be legally qualified). Any costs incurred are to be borne by the Member.

**Procedure of the DHG**

38. The hearing of the case shall be conducted as outlined below except where to do so would be unjust or inconvenient, in which case the Chair of the DHG may modify the procedure to the extent that he/she deems necessary, provided that the result is fair to the Member under complaint.

**Procedure before the DHG**

**Notification of hearing and exchange of information**

39. Following the appointment of the DHG, CILIP shall serve on the Member at least fifteen working days' written notice of the date, time and place of the hearing.

40. The notice referred to at paragraph 39 above shall include

   (i) particulars of the conduct or circumstances alleged by the Investigating Officer to amount to professional misconduct;

   (ii) a summary of the facts and matters relied upon by the Investigating Officer, including copies of any written statement and other document that it is proposed to put before the DHG;
(iii) the names and addresses of any witnesses whom the Investigating Officer intends to call in person and an outline of what each witness is expected to say;

(iv) an invitation to the Member to attend the hearing and/or to submit written representations for consideration by the DHG.

41. At least five working days prior to the date of the hearing, the Member shall:

(i) confirm whether or not he/she intends to attend the hearing and, if so, the name of any person who will be accompanying or representing him/her.

(ii) submit:

(a) brief particulars of any defence intended to be made;

(b) a summary of the facts and matters that will be relied upon in that defence, including copies of any written statement and other document that he/she intends to refer to; and

(c) the names and addresses of any witnesses whom he/she intends to call in person and an outline of what each witness is expected to say.

42. Neither party shall, without the consent of the other or the permission of the DHG, rely on any statement or document or call any witness other than those provided or identified under paragraphs 40 and 41 above.

Adjournment

43. At the request of either party or at his/her own volition, the Chair of the DHG may, at any time, adjourn the hearing if satisfied that it is in the interests of justice so to do. An application for the adjournment of a hearing that has not begun may be agreed between the parties.

44. In the event that any member of the DHG (sitting at the hearing of a case) is unwilling or unable to hear an entire case and the matter cannot be dealt with by adjournment of the hearing, then the Chair of the Disciplinary Panel shall appoint a new DHG and the case shall be re-heard. Members of the DHG who sat previously and were not the member unable or unwilling to continue shall be eligible to be appointed to the new DHG.

The absence of the Member

45. If at the hearing the Member is not present in person or represented, the DHG may proceed to consider the matter in the Member’s absence if it is satisfied that notice was properly served upon him/her in accordance with paragraphs 39 and 40 above.

Joinder of cases

46. The DHG may hear two or more complaints against a Member at the same time.
Joinder of members

47. The DHG may also hear complaints against two or more Members at the same time if it considers it just to do so.

Proof and evidence

48. (i) The burden of proving the alleged professional misconduct shall lie upon the Investigating Officer

(ii) The professional misconduct shall be proved by the Investigating Officer on a balance of probabilities

(III) THE DHG SHALL NOT BE BOUND BY STRICT RULES OF EVIDENCE

Private hearing

49. The hearing shall be conducted in private unless the Member requests otherwise (such request to be decided by the Chair of the DHG at his/her sole discretion) save that the complainant (where applicable) shall be permitted to attend unless the Chair of the DHG decides otherwise at his/her sole discretion.

50. The Chief Executive of CILIP or his/her nominee and such other persons as are reasonably required by CILIP for secretarial/recording purposes may also be in attendance at the hearing.

Order of proceedings

51. The order of proceedings for the hearing, unless the Chair of the DHG otherwise directs, will be as follows:

(I) submissions by, or on behalf of, the investigating officer;

(ii) hearing of any witnesses called by the investigating officer followed by cross-examination of such witnesses by, or on behalf, of, the member;

(iii) submissions by, or on behalf of, the member;

(iv) hearing of any witnesses called by the member followed by cross-examination of such witnesses by, or on behalf, of the investigating officer;

(v) closing submissions by, or on behalf, of the investigating officer;

(vi) closing submissions by, or on behalf, of the member;

(vii) after retiring as necessary, the DHG shall advise the parties (if present) whether or not it finds any allegation of professional misconduct proven.
52. Members of the DHG may themselves at any stage question witnesses, parties or representatives as they think fit.

Order of proceedings following a finding of professional misconduct

53. The Investigating Officer shall, following a finding of professional misconduct, inform the DHG of any further circumstances known to CILIP, whether favourable or adverse to the Member that might be relevant to any course of action which the DHG might take.

54. The Member shall then be entitled to respond on the matter of disciplinary action.

Decision

55. The DHG may, following a finding of professional misconduct, order any one or more courses of disciplinary action in accordance with paragraph 57 below.

56. Decisions of the DHG at all stages shall be made by a simple majority.

Disciplinary action

57. Any one or more of the following courses of disciplinary action may be ordered by the DHG as is considered appropriate (and on such terms and conditions and for such period as is considered appropriate) having regard to the nature and seriousness of the professional misconduct, the Member’s character and past record, and to any other relevant circumstances:

(i) a written warning and/or written reprimand; and/or

(ii) a requirement for the member to give a written undertaking as to future conduct; and/or

(iii) a requirement for the member to undertake specific training and/or to report regularly to or to seek guidance from a senior colleague; and/or

(iv) suspension or removal of the member from any office within CILIP, its groups and/or branches; and/or

(v) alteration of the membership status of the member; and/or

(vi) a recommendation to the council that the member be suspended from membership for a fixed period of time; or

(vii) a recommendation to the council that the member be expelled from membership of CILIP.

58. If, notwithstanding its finding that the Member is guilty of professional misconduct, the DHG is of the opinion that in all the circumstances, no such order is appropriate, it may make no order.
59. The DHG may also, wherever it considers appropriate and whether or not it decides to order any disciplinary action, communicate to the Member its advice as to his/her future conduct.

60. Where the DHG determines to recommend to the Council that the Member be suspended or expelled from membership of CILIP, the Member shall be suspended from membership on an interim basis pending the Council’s resolution in the matter, and during such interim suspension is entitled to no privileges of membership.

Notification of decision

61. CILIP shall serve on the Member written notice of the decision of the DHG together with any disciplinary action ordered as promptly as is practicable after the conclusion of the hearing, and whether or not the Member attended the hearing. Where there has been a finding of professional misconduct, the notice shall inform the Member of his/her right of appeal.

62. CILIP shall also inform the complainant of the decision of the DHG.

Reasons

63. The DHG shall also provide the Member with brief written reasons for the decision as soon as is practicable.

Recording

64. The proceedings before the DHG shall be recorded and a copy of the recording shall be provided to the Member upon written request by him/her and upon payment by him/her of the costs involved in making the copy.

Stage III – appeal

Right of appeal

65. A Member may, on the grounds set out at paragraph 70 below, appeal to the Appeal Hearing Group against a finding of the DHG that he/she is guilty of professional misconduct and/or against any disciplinary action ordered by the DHG.

66. There is no right of appeal by a complainant against any aspect of a decision by the DHG.

Notice of intention to appeal

67. Notice of intention to appeal shall be lodged with the CILIP Chief Executive in writing within five working days of service of the DHG’s decision.

68. If notice of intention to appeal is lodged within the time permitted, the order of the DHG shall not take effect until the determination of the matter on appeal.

Grounds of appeal

69. The Member shall be permitted a further ten working days to submit a written statement setting out the grounds upon which the appeal is brought and any facts
and matters relied upon by him/her, including, where applicable, a description of any fresh evidence upon which the Member intends to rely.

70. An appeal may be made on the following grounds:

(i) that the disciplinary hearing did not follow due process and/or

(ii) there is fresh evidence of a material nature which for good reason was unavailable to the DHG, which might cause the Appeal Hearing Group to reconsider the DHG’s finding of professional misconduct and/or the disciplinary action ordered by the DHG.

71. CILIP shall inform the complainant where a notice of intention to appeal/grounds of appeal are lodged by the Member.

Appointment and composition of the appeal hearing group (AHG)

72. When an appeal is made on grounds set out at paragraph 70 above, the President shall establish an AHG of three persons to hear the appeal and shall appoint one of those three persons as the Chair of the AHG.

73. The three persons shall be drawn from the members of the Disciplinary Panel who have had no previous involvement with the disciplinary case which is under appeal, and have no interest in the matter.

74. Notwithstanding the requirement for the annual appointment of members to the Disciplinary Panel, an AHG shall continue with its original membership until the appeal of the matter it was appointed to deal with has been concluded.

The parties in proceedings before the AHG

75. The Member shall be the Appellant at this stage and he/she shall be entitled to be represented by any person (who may be legally qualified). Any costs are to be borne by the Member.

76. The Investigating Officer shall act on behalf of CILIP as respondent to the Appeal and for this purpose may instruct a representative (who may be legally qualified). Any costs will be borne by CILIP.

Procedure before the AHG

77. On an appeal, the AHG shall consider the Member’s Grounds of Appeal together with any fresh evidence of a material nature which for good reason was unavailable to the DHG; and such other material as the Chair of the AHG considers appropriate, which will usually include the record of the hearing before the DHG, and the documents, statements and other evidence produced to the DHG.

78. The hearing of an appeal before the AHG shall be conducted as outlined below except where to do so would be unjust, in which case Chair of the AHG may modify the procedure to the extent that he/she deems necessary provided the result is fair to the Member.

Procedure for an Appeal

Notification of hearing and exchange of information
79. Following the appointment of an AHG, CILIP shall serve on the Member (at this stage the Appellant) at least fifteen working days' written notice of the date, time and place of the appeal hearing. Normally the appeal hearing should be held if possible within forty working days of receipt of the Member’s Notice of Intention to Appeal.

80. At least ten working days prior to the date of the hearing, the Appellant shall:

(i) confirm whether or not he/she intends to attend the hearing and, if so, the name of any person who will be accompanying or representing him/her.

(ii) if he/she wishes to adduce fresh written evidence or to call any fresh witness evidence, submit (with an explanation as to why such evidence was previously unavailable):

(a) any such fresh written evidence that he/she wishes to rely upon;

(b) the names and addresses of any witnesses whom he/she wishes to call in person to give any fresh evidence, and an outline of what each witness is expected to say.

81. At least five working days prior to the date of the hearing, the Investigating Officer shall provide the Appellant with any fresh evidence which he/she wishes to rely upon in light of the appeal, together with the names and addresses of any witnesses which he/she wishes to call in person and an outline of what each witness is expected to say.

Adjournment

82. At the request of a party or at his/her own volition, the Chair of the AHG may at any time adjourn the appeal hearing if satisfied that it is in the interests of justice to do so. An application for the adjournment of an appeal hearing that has not begun may be agreed between the parties.

83. In the event that any member of the AHG (sitting at the hearing of a case) is unwilling or unable to hear an entire case and the matter cannot be dealt with by adjournment of the hearing, then the President shall appoint a new AHG and the case shall be re-heard. Members of the AHG who sat previously and were not the member unable or unwilling to continue shall be eligible to be appointed to the new AHG.

The absence of the appellant

84. If at the appeal hearing, the Appellant is not present in person or represented, the AHG may proceed to consider the matter in the Appellant’s absence if it is satisfied that notice was properly served upon him/her in accordance with paragraph 79 above.

Private Hearing

85. The hearing shall be conducted in private unless the Appellant requests otherwise (such request to be decided by the Chair of the AHG at his/her sole discretion)
save that the complainant (where applicable) shall be permitted to attend unless the Chair of the AHG decides otherwise at his/her sole discretion.

86. The Chief Executive of CILIP or his/her nominee and such other persons as are reasonably required by CILIP for secretarial/recording purposes may also be in attendance at the hearing.

Order of proceedings

87. The order of proceedings for the Appeal hearing, unless the Chair of the AHG otherwise directs, will be as follows:

(i) The Appellant shall outline the grounds of his/her appeal, citing (with the agreement of the AHG) any fresh evidence;

(ii) Hearing of any witnesses called by the Appellant (limited to fresh evidence with the agreement of the AHG) followed by a cross-examination of such witnesses by, or on behalf of the Investigating Officer;

(iii) Response by, or on behalf of the Investigating Officer;

(iv) Hearing of any witnesses called by the Investigating Officer (with the agreement of the AHG) followed by a cross-examination of such witnesses by, or on behalf of the Appellant;

(v) Closing submissions by, or on behalf of the Appellant.

88. Members of the AHG may themselves at any stage question witnesses, parties or representatives as they think fit.

Decision

89. The AHG may affirm, vary or rescind any finding or order of the DHG and may substitute any other finding or order (on such terms and conditions, if any) as it considers appropriate which the DHG might have made.

90. All decisions of the AHG shall be reached by a simple majority.

Notification of decision by the AHG

91. CILIP shall serve on the Member written notice of the decision of the AHG as promptly as is practicable after the conclusion of the hearing, and whether or not the Member attended the hearing. CILIP will also inform the complainant of the outcome of the appeal.

Final decision

92. A decision of the AHG is final.

Reasons

93. The AHG shall also provide the Member with brief written reasons for its decision as soon as is practicable.
Recording

94. The proceedings before the AHG shall be recorded and a copy of the recording shall be provided to the Member upon written request by him/her and upon payment by him/her of the costs involved in making the copy.

Stage IV - endorsement by Council of recommendation

To suspend or expel member

95. A recommendation that the Member be suspended or expelled from membership of CILIP shall not take effect without being endorsed by the CILIP Council.

96. The Member shall be advised of the date of the meeting of the Council at which the recommendation will be proposed for endorsement. Whenever possible, the matter will be resolved at the next meeting of the Council.

97. The Council shall meet in private to consider the recommended suspension or expulsion of a Member and shall receive from the President a paper summarizing the disciplinary proceedings in the matter, to include the alleged professional misconduct, a summary of the Member’s defence and drawing attention to any aspects of the matter which are particularly complex or important, and the reasons for the recommended suspension or expulsion.

98. The Council shall decide either:

(A) to endorse the recommended suspension or expulsion; or

(b) to refer the matter back to the DHG (or AHG as appropriate), with a brief summary of its reasons for the referral and an instruction that the matter be reconsidered.

99. The Council shall reach its decision by a simple majority of those present and entitled to vote. Any Council member who has had a prior involvement in the case (whether as a member of the Disciplinary Panel or otherwise) shall not be entitled to participate in the Council’s discussion or vote on the recommendation.

100. The Member shall be notified of the Council’s decision as soon as practicable after the meeting.

General provisions

Publication of findings

101. The President shall report to the next meeting of CILIP Council on any completed disciplinary case (save for a case which Council has already considered). Unless otherwise recommended by the DHG (or AHG as appropriate), any such report shall be anonymised.

102. Following the report of each disciplinary case to the Council (or a decision by Council under paragraph 98(a) above, CILIP shall

(i) publish the outcome of the matter in such form and manner and to such extent as the Chief Executive in consultation with the President shall deem necessary (taking into account any recommendations made by the DHG,
AHG or Council regarding publication of the matter) save that there will be no publication where no disciplinary action is taken unless the Member so requests (and the Chief Executive in consultation with the President agrees to publish the matter).

(ii) inform the complainant (if applicable, and if not previously informed) in writing of the outcome of the complaint.

103. If a Member subject to a complaint resigns his/her membership, or if for any other reason his/her membership terminates whilst the matter remains unresolved under these Disciplinary Regulations, the Chief Executive may at his/her discretion and in consultation with the President, cause to be published such resignation/termination of membership and inform the complainant in the manner set out above.

Time limits

104. All time limits set out in these regulations shall be doubled when the correspondence address held by CILIP for the Member concerned is outside the UK.

Service of notices/documents

105. Save as provided for at paragraph 106 below, any notice or other documents required by these regulations to be sent to or served on a Member or a complainant may be delivered either personally or electronically or by first class post.

106. Any notice required to be sent to the member under paragraphs 30(i) (offer of consent order), 39 (notice of disciplinary hearing), 61 (notice of disciplinary decision and right to appeal), 79 (notice of appeal hearing), 91 (notice of appeal decision) and 100 (notice of Council decision) shall be delivered personally (by handing to the member) or by recorded delivery post.

107. Save as provided for at paragraph 106 above, any such notice or document shall:

(a) If delivered personally, be handed to the Member (or complainant as appropriate) or left at the last address of the Member or complainant concerned which is recorded by him/her with CILIP;

(b) If served by post or electronically, be sent to the last address (postal or email as appropriate) of the Member or complainant concerned which is recorded by him/her with CILIP.

108. Service shall be deemed to have taken place:

(a) If delivered personally, when handed to the Member (or complainant as appropriate) or left at the relevant address;

(b) If sent by first class post on the second day following that on which it was posted unless at the place of receipt that latter day is a Sunday or a public holiday in which case service shall be deemed to have occurred on the first day thereafter which is not one of such exceptional days;

(c) If sent by recorded delivery, on the date of delivery as confirmed by the Royal Mail;
(d) If sent electronically, on the same day it was sent.

Archiving

109. The written record of each Disciplinary Case shall be kept on file by the CILIP Governance Unit for five years after the conclusion of that case. In any Case where a Member has been expelled from membership of CILIP, the written record shall be kept indefinitely except that, in the event of re-instatement to membership, such record shall be kept only for five years thereafter.

Retrospection

110. These regulations supersede all previous disciplinary regulations. They cannot be applied retrospectively to any Disciplinary Case heard under previous regulations.

UK law

UK law shall apply in resolving any disputes regarding the application of this procedure.