

DISCIPLINARY PROCESS

STEP 1

The Interested Party must submit the completed Misconduct Alert Form + Affidavit + Supporting Documentation (Documentation must be clearly cross referenced with the appropriate sections in the Member Code of Professional Conduct and/or the Member Regulations and/or the Member Disciplinary Regulations)

STEP 2

SECRETARIAT reviews: (i) Is the Misconduct Alert Form completed in full and submitted in the correct format? (ii) Is the person against whom the complaint is lodged, a current Member or former Member at the time of the alleged Misconduct? (iii) Has the complaint not already been dismissed by another competent authority? (iv) Is the complaint not defamatory, vexatious, malicious or unsubstantiated? and (v) Does the complaint likely indicate *prima facie* evidence of alleged Misconduct?

Matter pending before a court, tribunal or regulatory authority

Complaint is not adjudicated. If there are exceptional circumstances, process moves to **Step 3**

Above criteria Met

STEP 3

Refer the matter to the Complainant to review the documentation to consider instituting disciplinary action

Above criteria Not Met

Complaint is Dismissed

STEP 4

Complainant is satisfied, prepares a charge sheet and sends it to the Secretariat

Complainant is NOT satisfied

STEP 5

Secretariat refers the case to:

Refer matter back to the Secretariat to obtain further supporting documentation

Inform the Secretariat that the matter has been Dismissed

STEP 6(A)

Internal Panel where the charge relates to a Misconduct listed in Schedule 1

(CLICK BUTTON TO GO TO PROCESS)

STEP 6(B)

External Panel for external adjudication where the charges relate to any other Misconduct

(CLICK BUTTON TO GO TO PROCESS)

Secretariat requests further information from the Interested Party and reviews same. Process reverts to **Step 2**