Appendix A – Discipline and Complaints Policy Flowchart

Complainant files written complaint with the Organization

Screening of Complaint

1. Organization will appoint a Case Manager

Complaint Dismissed

1. The Case Manager will dismiss the complaint if:
   a. The complaint is frivolous; OR
   b. The complaint does not fall within the jurisdiction of the Organization; OR
   c. The complaint was not timely.
2. The Case Manager will notify the Complainant and Respondent in writing of the outcome.

Complaint to Proceed

1. The Case Manager will:
   a. Determine the appropriate jurisdiction to manage the complaint
   b. Determine if an Investigator is required
   c. Determine Process #1 or Process #2

Dispute Resolution Policy

1. Opportunities for alternative dispute resolution may be pursued at any point in a dispute upon the consent of the Parties.
2. The Case Manager will appoint a mediator or facilitator.
3. The mediator/facilitator will decide the format for mediation and/or facilitation.
4. Should a negotiated decision be reached, the decision shall be reported to and approved by the organization with jurisdiction of the dispute.
5. Should a negotiated decision not be reached by the deadline specified by the mediator or facilitator at the start of the process, or if the Parties to the dispute do not agree to Alternative Dispute Resolution, the dispute shall be considered under the appropriate section of the *Discipline and Complaints Policy*.

Process #1

1. Following the determination that the complaint will be handled under Process #1, the Case Manager will appoint a Discipline Chair who may:
   a. Make a decision;
   b. Ask for either written or oral submissions; or
   c. Convene the Parties to a meeting
2. Thereafter the Discipline Chair shall determine if a breach occurred and if so, the appropriate sanction.

Request for Reconsideration

1. The Complainant or the Respondent may contest the decision of the Discipline Chair by submitting a Request for Reconsideration.
2. Upon receipt of a Request for Reconsideration, the complaint will be managed under Process #2.

Process #2

1. The Case Manager will:
   a. Propose the use of the *Dispute Resolution Policy*
   b. Appoint a Discipline Panel if Alternative Dispute Resolution is denied or unsuccessful
   c. In cooperation with the Panel, decide the format of the hearing
   d. Provide notice of the hearing
   e. Ensure all evidence and submissions are disclosed to all Parties and the Panel
   f. Set all timelines
2. The Panel:
   a. May request other individuals participate in the hearing
   b. Will determine what is or is not evidence
   c. Will render a written decision within 14 Days of the completion of the hearing
   d. Will send the decision to the Case Manager who will distribute the decision as required
3. The Panel's decision may be appealed in accordance with the *Appeal Policy*.

This flowchart is a quick guide only. Please see the Discipline and Complaints Policy for complete details.