

The Member complaints process

Complaint received in

criteria for MO when determining whether to investigate:
 Vexatious/Frivolous
 Complaint outside scope of Code
 Not in Public Interest

Preliminary Assessment stage:
 Monitoring Officer decides in consultation with one of the Independent Persons

Formal investigation by Investigating Officer

Informal Resolution

No Investigation

Investigating Officer's report to MO

Investigation finds a breach

Investigation finds no breach

Substantive Breach

Technical but minimal breach

MO determines the best outcome in the public interest having consulted with the parties

Does MO Consider - **and the IP agree** - that exceptional reasons in the public interest apply?

Does the Monitoring Officer consider that it is in the public interest to refer to Panel?

Standards Panel

Informal resolution

Yes

No

Yes

No

Standards Panel

MO may resolve via informal settlement having consulted with the parties

MO has discretion to resolve matters informally in the public interest having first consulted/obtained the agreement of one of the IPs

Note: whenever the MO is making a decision as to next steps, he must consult with one of the IPs. In the event that he is exceptionally considering not referring to a Standards Panel a matter in which an investigator considers that a substantive breach has occurred, he may exercise his discretion to resolve matters informally only with the IP's express agreement.

