



- Enquiry Stage –Director of Regulation gathers relevant information and supporting documentation by means of correspondence with parties
- Preliminary Investigation Stage - Director of Regulation undertakes a thorough review of representations made and supporting documentation
- Professional Conduct Committee (PCC) hears the disciplinary cases referred
- Appeals Board hears Appeals from PCC decisions
- Independent Reviewer (IR) - Can reviews DoR decisions

Complaint, Allegation or any relevant information received

Are there other ongoing Proceedings relating to the alleged conduct of the Member?

Is it appropriate to stay the investigation pending the outcome of such Proceedings?

Investigation stayed until those proceedings are determined

Would this complaint be amenable to a Fixed Penalty? (CPD breach)

Should this be referred to PCC having regard to the allegations made and public interest?

PCC considers the conduct of the Member, the explanations and convenes a hearing to assess the complaint (usually held in private)

Hearing - Has a breach been established and if so what sanction should be imposed? (Having heard from member/witnesses)

Breach Established /Sanctions Imposed

Has the member complied with the PCC direction?

Options: Set aside decision Vary the Sanction

Options: Refer the matter back to PCC for a new hearing

Did the Member comply with IR decision?

Uphold/Vary or Set aside DoR decision

Refer to PCC

Independent Reviewer

Has the Member paid the fine /complied with requirements?

Independent Reviewer (IR) - Can reviews DoR decisions

