

## RGA Complaints and Disciplinary Policy and Procedures

The Association is committed to providing a quality service to all Members who have reason to have serious concerns about the behaviour of any Participant and are intended to ensure a fair and consistent approach to the handling of complaints and disciplinary procedures.

Disciplinary Procedures apply to all those participants to whom the Standards of Conduct apply and are concerned primarily with misconduct involving serious breaches of the said Standards, the RGA constitution, or the RGA Policies and will aim to:

- Allow complaints to be resolved without formal disciplinary action if possible
- Resolve or determine complaints within a reasonable period
- Provide a fair and rigorous process for those circumstances where formal disciplinary proceedings are necessary

### Complaints

Any written complaints received by RGA will be referred to and considered by the Welfare Officer, the Legal Officer or the DOC (*whoever is most appropriate*) who may proceed in one or more of the following ways:

- > Conduct enquiries into the matter.
- > Take action to resolve the matter informally
- > Dismiss the complaint as unfounded, or as insufficiently serious to require any further action
- > Refer the matter to another organisation or relevant officer, as appropriate
- > Determine that formal disciplinary proceedings are appropriate and that action should be taken
- > Refer the matter to BG if sufficiently serious

## Formal Disciplinary

Where the Welfare Officer, Legal Officer or DOC [after conducting enquiries into the matter] determines that formal disciplinary proceedings are appropriate, the matter will proceed in the following way:

- >The Participant will be informed that formal disciplinary proceedings are being brought
- >A Disciplinary Panel, made up of appropriately qualified personnel will be convened
- >The Panel may request any person to make written or oral representations or give written or oral evidence concerning the matter under consideration
- >The Panel shall hear and determine all issues arising from any matter and may recommend imposing sanctions, in respect of any breach, to the Board of Trustees
- >The Welfare Officer, Legal Officer or DOC shall inform the Participant and the Board of Trustees of all decisions, sanctions or resolutions made in connection to the complaint

Participants shall have the right to appeal against any decision of a Disciplinary Panel. The appeal should be sent in writing to the Chairman of RGA within 21 days of the decision being communicated to the Participants.

January 2018

The RGA Complaints and Disciplinary Policy  
will be regularly reviewed by the Trustees and updated as necessary