

Integrity Framework Conduct and Disciplinary Policy

Record of Alleged Breach

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| Name of Complaints Manager | | <input type="checkbox"/> Complaint Form attached |
| Process chosen to resolve Alleged Breach (if any) | | |
| Was Provisional Action taken? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| If so, what? | | |
| Was Alleged Breach referred to external agency? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| | Please detail: | |
| Date Complaint/Report Form received | | |
| Date Process undertaken | | |
| Was Alleged Breach valid? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| If not, why? | Please detail | |
| If Alternative Dispute Resolution (ADR) | Date of referral to ADR: Type of ADR: Date of ADR: Alleged Breach resolved at ADR: <input type="checkbox"/> Yes <input type="checkbox"/> No If no, alternative Process chosen: If Yes, please detail: | |

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| If Warning Procedure | Date letter sent to Respondent: Any further comments: |
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| If Breach Offer | Sanction offered to Respondent: Date letter sent to Respondent: Date Respondent provided response: Did Respondent accept breach and reduced sanction? <input type="checkbox"/> Yes <input type="checkbox"/> No If No, date Alleged Breach referred to Hearing Tribunal: If No, also complete 'Hearing Tribunal' section |
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| If Hearing Tribunal | <input type="checkbox"/> ADR Body <input type="checkbox"/> NST <input type="checkbox"/> NA Tribunal Date Alleged Breach Referred to Tribunal: Date of Tribunal hearing: Decision of Tribunal: Date parties notified: Appealed <input type="checkbox"/> ADR Body <input type="checkbox"/> NST <input type="checkbox"/> No appeal right |
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| If Appeals Tribunal | <input type="checkbox"/> ADR Body <input type="checkbox"/> NST <input type="checkbox"/> NA Tribunal Date Alleged Breach Referred to Appeals Tribunal: Date of Appeals Tribunal hearing: Decision of Appeals Tribunal: Date parties notified: |
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| Date of notification | Date Respondent notified of outcome: Date Complainant notified of outcome: |
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| Completed by: Name: Position: Signed: Date: | |
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