

Mechanism for Dealing With Complaints against Members & Registered Practices

Upon receiving a written complaint against a Member or Registered Practice, the Institute shall deal with the complaint in the following manner:

Step	Event	Target Date
1	HKILA receives written Complaint against a Member and/or Registered Practice (RP).	A
2	Secretariat responds to Complainant to acknowledge receipt and inform Complainant that a Review Panel will be set up to review the case and come to a decision.	A + 1 week
3	Secretariat informs the Member or Registered Practice (RP) of the date and nature of the complaint against them and asks him/her/them to respond to the accusations in the Complaint within 2 weeks.	A + 2 weeks
4	Executive Committee appoints a Review Panel ⁱ to deal with the case. Members of the Review Panel must have no conflict of interest in the matter, and if they become aware of any conflict later on in the review process, must recuse themselves from the Panel and the HKILA must appoint a replacement Fellow Member.	A + 4 weeks
5	HKILA receives response from Member/RP.	A + 4 weeks
6	Review Panel meets to review complaint and response from Member/RP and determines what additional information / clarification is required from Complainant and or Member/RP in order to further investigate the matter and reach a decision on whether the Complaint is justified in whole, in part, or not at all. Review Panel instructs Secretariat to request the additional information / clarification.	A + 8 weeks
7	Secretariat issues request to Complainant and/or M/RP for additional information / clarification within 2 weeks.	A + 9 weeks
8	Complainant and/or M/RP submit additional information / clarification to Secretariat who forward immediately to Review Panel. ^{ii,iii}	A + 11 weeks
9	Review Panel meets to review additional information / clarification from Complainant and / or Member/RP and determines if any additional information is required ^{iv} from Complainant and or Member/RP in order to reach a decision.	A + 15 weeks
10	If no further information required, Review Panel reaches a decision as to whether the Complaint is justified in whole, in part, or not at all and prepares a brief written report for submission to the Executive Committee, including recommendation for any disciplinary action to be taken against the member / RP.	A + 16 weeks. Decision
11	If the Review Panel determines further additional information/clarification is required, including asking Complainant and/or Member/RP to respond to the additional information supplied by the other party, Review Panel instructs Secretariat to request the further additional information / clarification. (Repeat from step 7)	A + 16 weeks
16	Executive Committee should reply complainant within 4 weeks.	A + 20 weeks
17	Both the complainant and complaine e shall have the right to appeal within 4 weeks of notice. Appeal is considered valid only if additional evidence is provided.	A + 24 weeks
18	Executive Committee will appoint an Appeal Board ^v to investigate the case within 4 weeks of appeal.	A + 28 weeks
19	Appeal Board will review appeal and recommend an outcome to Executive Committee.	A + 32 weeks
20	Executive Committee replies to Appellant on finalized decision within 4 weeks.	A + 36 weeks

Potential Disciplinary Actions against Members / Registered Practices

Breach	Disciplinary Action	
	Member	Registered Practice
Major Breach of Code of Conduct	Removal from Register	Removal from Register
First Minor Breach of Code of Conduct	Letter of Censure	Letter of Censure
Second Minor Breach of Code of Conduct	Letter of Censure including warning that any further breach will result in removal from the Register	Letter of Censure including warning that any further breach will result in removal from the Register
Third Minor Breach of Code of Conduct	Removal from Register	Removal from Register

ⁱ Review Panel shall be 3 HKILA Fellow members or minimum 2 Fellows and 1 Professional member with 10+ years of post-qualification experience.

ⁱⁱ If the Complainant fails to respond to requests for additional information / clarification within the requested 2-week period, the Secretariat will issue a reminder, within 1 week of the due date, to the Complainant to respond, informing them that a failure to respond within a further 2 weeks (i.e. 3 weeks after the original due date) will result in the Institute considering that the complaint has been dropped and it will be investigated no further by the Institute.

ⁱⁱⁱ If the Member/RP fails to respond to requests for additional information / clarification within the requested 2-week period, the Secretariat will issue a reminder to the Member/RP to respond, informing that a failure to respond within a further 2 weeks will result in the Institute reaching a decision based on the information available to them.

^{iv} Review panel consideration cycles is capped at a maximum of 3 rounds. Where provided info remains inadequate, the complaint is considered an incomplete case and will not justify any disciplinary actions.

^v The Appeal Board will normally consist of a Fellow member who will be independent of the Reveal Panel.