**COMPLAINTS PROCESS STEPS FORM**

**Complaints Process Steps**

**KA COMPLAINTS FORM**

STEP 1

**COMPLAINT RECEIVED**

**INITIAL EVALUATION**

STEP 2

**IF REQUIRED**

**NO FURTHER ACTION**

**NOTIFICATION OF OUTCOME**

**OUT OF SCOPE**

**EXTERNAL REFERRAL**

**IN SCOPE**

**EXTERNAL AGENCY DECISION**

STEP 3

**IF APPROPRIATE**

**ASSESSMENT/INVESTIGATION**

**Obtain further information from people involved**

**ALTERNATE DISPUTE RESOLUTION PROCESS**

**NOTIFICATION OF OUTCOME**

**Refer Complaints & Discipline of Members Policy**

**NO RESOLUTION**

STEP 4

**OUTCOME**

**UNSUBSTANTIATED/UNABLE TO BE SUBSTANTIATED**

**SUBSTANTIATED**

**More likely than not the Respondent did not breach a policy**

**Determine Sanction & Issue Breach** **Notice**

**Two equally plausible version of events**

**NO FURTHER ACTION**

**Dispute of Breach Notice**

**Acceptance of Breach Notice**

**NOTIFICATION OF OUTCOME**

**TRIBUNAL/JUDICIAL DISCIPLINE PROCESS**

**HEARING/TRIBUNAL**

**NOTIFICATION OF OUTCOME**

**FINALISATION**

STEP 5

**DETERMINATION**

**NOTIFICATION OF OUTCOME**

**APPEAL**