

CQI|IRCA Disciplinary Regulation 12

BACKGROUND

CQI Byelaw 11 describes the requirements for discipline of the improper conduct of Members of the Chartered Quality Institute (CQI). The Chartered Quality Institute's Board of Trustees have approved this regulation to deal with any allegation of improper conduct which is made about its CQI members, IRCA certificated auditors and volunteers.

The regulation requires that:

Members shall be bound by the laws of the institute and may be subject to disciplinary proceedings of the institute if in breach of those laws or if found guilty by a competent tribunal or court of an offence considered relevant to the membership of the institute.

The Board of Trustees delegates the powers as set out in this Regulation to the CQI Executive to investigate and adjudicate on alleged breaches of the CQI's Byelaws and Professional Code of Conduct, and if a breach is established, to apply appropriate sanctions in accordance with the Byelaws.

This regulation requires that the disciplinary process shall be carried out under the following framework of principles:

- The member / volunteer shall be informed of the allegations against them and be given fair opportunity to answer those allegations.
- The member/volunteer and the complainant shall be entitled to have their case heard by an unbiased and impartial process.
- The member/volunteer and the complainant shall be informed of disciplinary decisions taken and the reasons for these.
- The member/volunteer shall have the right to be represented as part of any formal hearings.
- The member/volunteer shall have the right to appeal
- The disciplinary process shall allow for appropriate sanctions
- The institute may use committees to regulate the process or to be used for hearings

The following would constitute an allegation of improper conduct for the purpose of this regulation:

- Any breach of the CQI's Byelaws or CQI and IRCA Professional Code of Conduct.
- Personal status (eg criminal offences unconnected with work – the rehabilitation of offenders' act will be referred to).
- The CQI may investigate a concern of misconduct where no complaint is received (eg on the basis of a news item, whistleblowing).

The following allegations cannot be dealt with under this regulation:

- People who are not in current CQI membership or hold current IRCA auditor certification.
- Events that took place more than 90 days ago unless in exceptional circumstance.
- Behaviour that falls outside the CQI professional code of conduct and CQI Byelaws. CQI products or services, which are dealt with under the CQI complaints process.
- CQI volunteer disputes, which are dealt with under the CQI volunteer processes.

Code of Conduct complaints and appeals regulation 12

Adopted by the Board of Trustees on 16/06/2022.