#### Code of Professional Conduct Complaint Form

# Confidential



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##### APM Member / Chartered Project Professional

##### Code of Conduct Complaint Form

###### Purpose of the Code of Conduct

The APM Code of Professional Conduct sets standards so as to guide professionals to which it applies and to raise the level of trust and confidence of the public in the profession.

###### Regulatory approach

The approach to complaints by APM will aim to be proportionate and targeted. Therefore, only cases where action is demonstrably needed will be taken forward. APM will also seek to be accountable, transparent and consistent in its approach.

###### Decision to proceed

After gathering information from relevant parties, and in deciding whether any case should be referred to the next stage under the Procedural Rules, the matters to be considered before proceeding or continuing with a case are:

1. Is there a more appropriate and proportionate option available to deal with the issues raised? Note: purely personal disagreements are not well suited to a formal Code procedure. Personal dispute cases are less likely to reach the threshold required to continue in the public interest;
2. Would the allegations, if proven, constitute a material breach of the Code of Professional conduct;
3. Is there enough evidence of a breach of the Code to provide a realistic prospect of a finding that there has been a breach; and
4. Is it in the public interest and in accordance with the purposes of the Code (which should be considered equally) to proceed to the next stage?

###### Purpose of sanctions

The primary purpose of sanctions is not to be punitive, but to protect members of the public, to maintain the integrity of the profession, to raise the level of trust and confidence of the public in the profession and to uphold proper standards of conduct and competence. These purposes should be considered equally.

###### Instructions for completing this form

1. All complainants are required to read the APM Code of Professional Conduct, the Code of Professional Conduct Procedural Rules and the Indicative Sanctions Guidance **before** submitting a complaint under these procedures. Complainants are encouraged to contact the Company Secretary for advice and with any queries in advance of submitting this form.
2. This form is supplied by APM, to individuals, groups, or organisations (complainants) who want to submit a code of professional conduct complaint regarding an APM member and/or a Chartered Project Professional (ChPP). It may also be used by APM where it lodges a complaint itself.
3. In order to start the process, each complainant must complete, sign and send the form to the Company Secretary mike.robinson@apm.org.uk.
4. Insofar as the APM Professional Conduct Procedural Rules permit, the complainant(s) and those against whom the complaint is made shall treat this form and all information submitted to the professional standards committee as confidential.
5. This form may be printed and submitted in hard copy, however, electronic submission is preferred. Confirmation of the receipt of this complaint will be sent by APM staff to the complainant(s). No complaint shall be considered complete until APM receives all required documentation, which includes (1) the completed complaint form, (2) all applicable supplemental information requested on the complaint form, and (3) all documentation and other information requested in writing by APM. Incomplete complaints may not be reviewed. In addition, please note that anonymous complaints, and/or trivial complaints are unlikely to pass through the Code of Professional Conduct system.
6. **Please note that complainants will be asked to respond to this form and will be informed of the identity of the complainant(s).**

###### Identity of the parties

Please include the following information. If there is more than one complainant or respondent, attach additional sheets to provide the same information for all individuals.

1. **Complainant(s) information:**

Name (your name):

Address:

Telephone number:

E-mail address:

1. **Information regarding the APM Member/ChPP against whom the complaint is filed (the “Respondent”) - to be provided if known:**

Name (your name):

Address:

Telephone number:

E-mail address::

###### Nature of the alleged code of professional conduct violation

1. **Provide a statement of what you consider to be the essential facts involved in the alleged code violation:**

**Note:** This should be a summary from the most important facts which the complainant believes support the issuance of a formal complaint by APM. This factual statement must include a clear explanation of the alleged breach of conduct of the respondent. The submission of this complaint is subject to review to determine whether sufficient information is presented to constitute a formal complaint. The statement need not include all of the information that the complainant is prepared to present; however, the complainant must explain the facts in sufficient detail to permit the respondent to answer the complaint allegations. (If the space below is not sufficient, additional pages may be used and attached.)

Each fact should be numbered or otherwise identified, so that it can easily be related to a specific provision of the APM members’ code of professional conduct.

1. **State the applicable provisions of the APM Code of Professional Conduct**

**Note:** The complainant must list all provisions of the APM Code of Professional Conduct that the complainant believes have been violated. Relevant portions shall be referred to by appropriate section numbers and quoted in full.

List each specific provision of the code of professional conduct (including the applicable number of the code provision) which you believe have been violated and specifically identify under each such provision the fact or facts that tend to show that a violation has occurred.

1. **To the best of your knowledge, are there any other code of professional conduct complaints, regulatory complaints, or court actions that have been filed by you or anyone else that relate to the same or similar allegations that you have stated in paragraph 1 above? If so, identify such complaints or other actions below.**

**Note:** The complainant should list any actions taken or contemplated that are directed at the same or related complaints. For example, the complainant should identify any legal matters filed, or regulatory boards, courts or other judicial forums, and employers that relate to the issues raised in this complaint. Such actions should be listed regardless of who the individual filing the matter is.

1. **List all persons you believe have knowledge of the matters you have asserted in this complaint and include a brief description of what each person’s knowledge is regarding the alleged violation.**

**Note:** Please provide each individual’s contact information, *e.g.*, e-mail address, to the extent known.

1. **List all documents which you believe to be relevant to the matters asserted in this complaint.**

**Note:** All documents must be listed by type (*e.g.*, letter, e-mail, memo, certificate, etc.), including the date and the name of the individual or organisation that prepared it. All documents listed in this section must be submitted along with this form.

1. **Explain why this issue cannot be, or has not been, resolved through other means:**

**Note**: APM is unlikely to accept trivial complaints. APM members and ChPPs have a professional and ethical responsibility to use their best professional efforts to resolve issues prior to filing a code of professional conduct complaint when the issue involves a dispute between APM members and/or ChPPs. Before filing a complaint, APM members and ChPPs should consider other appropriate methods and channels, e.g., grievance process, escalation within APM leadership, mediation, etc. to resolve the issue.

###### Statement and Certification

By submitting this complaint, I charge the APM member/ChPP identified with a violation(s) of the [APM code of professional conduct](https://www.apm.org.uk/media/19286/code-of-professional-conduct.pdf). I have read the Code and the [APM code of professional conduct procedural rules](https://www.apm.org.uk/media/22237/june-18-code-of-professional-conduct-procedural-rules.pdf) and the [APM Indicative Sanctions Guidance](https://www.apm.org.uk/media/19212/apm-indicative-sanctions-guidance.pdf). I agree to abide by the conditions and terms of these rules.

I understand that I am required to, and APM shall make reasonable efforts to, keep the information that has been and will be submitted concerning this proceeding confidential. I also understand that the accused APM member/Chartered Project Professional (respondent) will receive a complete, unedited copy of this document, as well as other information that is submitted with regard to the proceeding.

Further, I understand that some or all of the information submitted with regard to the proceeding may be published following a final determination.

I further certify that the factual allegations made in this complaint are true and accurate to the best of my knowledge and that these charges are made in good faith.

**Signature of complainant:**

**Printed name:**

**Date**: