

Professional Conduct Procedure

Complaint Form

Confidential when completed

Complaint Reference: _____ (*Office use only*)

PCF-A

About this document

The Institution's member conduct and disciplinary procedures are governed by its Royal Charter, By-laws and Regulations. As a supplement to these the Institution publishes a series of information documents, of which this is one. The relationship between these different types of document is shown below.

1	Royal Charter	The Royal Charter is an instrument of incorporation granted by the UK monarch. It confers independent legal personality on the Institution and defines its objectives, constitution and powers to govern its own affairs including the power to make By-laws.
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2	By-laws	The By-laws are approved by the Privy Council. They set out the rules that govern the actions of the Institution. They set out the general standards of conduct required of Institution members and require the Trustee Board to make Code of Conduct Regulations. They also define improper conduct, require the Trustee Board to make Disciplinary Regulations and set out members' liability to be penalised if found guilty of improper conduct.
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3	Regulations	The Regulations set out the directives made by the Institution Trustees in defined subject areas, including the Code of Conduct Regulations and the Disciplinary Regulations.
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4	Information	Information documents supplement the Regulations and are intended to help people who engage with the Disciplinary Procedures.

All of the documents listed above are available on the Institution's website.

Complaint Form

The Institution's Code of Conduct Regulations and Disciplinary Regulations are an important part of how the Institution protects the public and the reputations of the Institution and the profession.

The Disciplinary Regulations provide fair and clear processes for bringing an allegation of improper conduct (a complaint) against Institution members to the Institution's attention, and for the investigation, hearing and appeals arising from such complaints.

This form is provided by the Institution of Mechanical Engineers (the Institution), for the use of individuals, groups, or organisations (Complainants) who want to submit a complaint about an Institution member or members.

By completing and sending this form to the Institution you are alleging that the conduct of the member(s) named by you on this form has fallen below the standard required of Institution members, as exemplified in the Code of Conduct Regulations; we refer to this as improper conduct.

To make a complaint

To make a complaint you must download and complete, either electronically or by hand in ink, this form. Then either:

- print the form and send it, along with supporting documents, to the address below; or
- send it, by email, attaching all relevant supporting documents, to the email address below.

The Clerk to the Assessors
Institution of Mechanical Engineers
1 Birdcage Walk
Westminster
London
SW1H 9JJ

Email address: ip.clerk@imeche.org

Before you complete the Complaint Form

Before you complete this form, you should read it to make sure you understand and can provide what we ask for. You should also read the Institution's Code of Conduct Regulations and the related Instructions to understand the standards of conduct we expect of our members, and the supporting documents we provide to guide all involved in the disciplinary process. All of these documents are available on our website.

PART 1

The identities of the parties

Provide below information about the parties to the complaint.

This form facilitates a complaint against a single Institution member. If you want to make a complaint about more than one Institution member you will need to complete a separate form for each member concerned.

A. Information about the person making the complaint:

Name: _____

Institution membership number: _____
Where known

Address: _____

Telephone number: _____

E-mail address: _____

B. Information about the Institution member against whom the complaint is made:

Name: _____

Institution membership number: _____
Where known

Address: _____
Where known

Telephone number: _____
Where known

E-mail address: _____
Where known

Part 2

The facts of the alleged improper conduct

Statement of what you consider to be the essential facts involved in the alleged improper conduct.

1. Set out the facts that you believe support the allegation of improper conduct as fully as possible; include details about who is involved, what happened and when (including specific dates and times) and what, if anything, you have done in response to the events.
2. Include a clear explanation of the alleged improper conduct on the part of the Institution member.
3. Number, or otherwise identify, each fact so that it can easily be related to a specific provision of the Institution's Code of Conduct Regulations.
4. Use and attach additional pages if needed.

Statement of what you consider to be the essential facts involved in the alleged improper conduct

Part 3

The relevant provisions of the Institution's Code of Conduct Regulations

State below which provisions of the Institution's Code of Conduct Regulations you believe have not been met.

1. List all provisions of the Institution's Code of Conduct Regulations that you believe have not been met, based on the facts set out in Part 2.
2. Refer to the relevant provisions by their regulation reference number(s) and quote them in full.
3. Specifically identify under each such provision the fact or facts that indicate that improper conduct has occurred.

Applicable provisions of the Institution's Code of Conduct Regulations

Part 4

Other actions relating to the same allegations

To the best of your knowledge, are there any other code of 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 Part 2 above? If so, identify them below.

1. List any actions taken or contemplated that are directed at the same or related complaints. For example, identify any legal matters filed, or regulatory boards, courts or other judicial forums, and employer actions that relate to the issues raised in this complaint. Actions should be listed regardless of who the individual filing the matter is.
2. You are under a continuing obligation to advise the Institution, through the Clerk to the Assessors of any additional complaints that are filed after you submit this complaint or which were previously filed, but which you did not know about when you submitted this complaint.

Other actions relating to the same allegations

Part 5

Others with knowledge of the matters that constitute the complaint

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.

Please provide each individual's full name, address, telephone number, and other contact information (e.g., e-mail address) to the extent known.

Others with knowledge of the matters that constitute the complaint

Part 6
Supporting documents

Documents that you believe to be relevant to the matters asserted in this complaint.

1. List all documents by type (e.g., letter, e-mail, memo, certificate, etc.), including the date and the name of the individual or organisation that prepared it.
2. The documents, or copies of the documents, listed below must be submitted along with this complaint at the same time that this complaint is submitted.

Documents that you believe to be relevant to the matters asserted in this complaint.

Part 7
Resolution through other means

(Part 7 is only for Institution members making a complaint about another member of the Institution.)

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

1. When the issue involves a dispute between Institution members, those members have a professional and ethical responsibility to use their best professional efforts to resolve issues prior to filing a Code of Conduct complaint.
2. Before filing a complaint, Institution members must firstly attempt to use all other appropriate methods and channels, e.g., grievance process, escalation within Institution leadership, mediation, etc. to resolve the issue.

Resolution through other means

Part 8
Statement and declaration

Statement

By submitting this complaint, I charge the Institution member identified with improper conduct with respect to Institution By-law 33. The factual allegations made in this complaint are true and accurate to the best of my knowledge and these allegations are made in good faith. I consent to the accused Institution member receiving, at the appropriate point in the process, any part or all of the information I submit with regard to this complaint, on this Complaint Form or otherwise, including in edited or summarised form.

Declaration

I declare that:

1. I understand that I am required to, and shall make reasonable efforts to, keep the information that has been and will be submitted concerning this proceeding confidential.
2. I understand that my identity may be disclosed to the Defendant (and other parties involved in the disciplinary process) at any stage of the process, where appropriate.
3. I understand that I may be asked to provide a witness statement and/or give oral evidence at a hearing in due course.
4. I understand that in cases where the Disciplinary Board finds an Institution member guilty of improper conduct, it is required to publish its decision, together with any penalty imposed, in such manner and to such persons as they deem necessary or desirable with a view to furthering the objects of the Institution. Such publication may include some or all of the information submitted by me with regard to the proceeding (in either edited or unedited form).

Signature of Complainant: _____

Printed name: _____

**Institution membership
number:**

Institution members only _____

Date: _____