

PSIA-AASI PROCEDURES FOR DISCIPLINE OF MEMBERS

1. **General.** The following PSIA-AASI Procedures for Discipline of Members (“Procedures”) have been adopted by the Board of Directors (each, a “Board”) of the Regions (each, a “Region”) (a Board of a Region shall be referred to herein as a “Region Board”) and PSIA-AASI (“National”) and are designed to set forth the rules and procedures which will be followed for the discipline of members.
2. **Grounds for Discipline of Members.** The following are grounds for discipline of members of the Region:
 - a. Violation of the PSIA-AASI Code of Conduct (“Code”), as it may be amended from time to time.
 - b. Failure to follow any material provision of any rules, regulations, policies or procedures adopted by the member’s Region (each, a “Rule”), as such rules may be implemented and amended from time to time.
 - c. Failure to cooperate in an investigation of an alleged violation of the Code or Rules or to comply with the conditions of any discipline imposed on the member pursuant to these Procedures.
 - d. Conviction of a member of a felony or agreement to a plea bargain where such member admits to a felony.

The foregoing constitutes a non-exclusive list of grounds for discipline. Other acts or omissions that constitute unprofessional misconduct or that bring (or reasonably could bring) a Region or PSIA-AASI into disrepute or impair the goodwill of the Region or PSIA-AASI, as determined by the member’s Region Board, may also constitute grounds for discipline.

3. **Procedure.** The following procedure shall be followed by the Region in the discipline of its members.
 - a. Complaint Process
 - 1) Member discipline shall be initiated by filing a complaint for discipline (“Complaint”) against a member. Anyone may submit a Complaint, including an officer, member or staff member of the Region, National, or any outside person or organization.
 - 2) A Complaint must be in writing, identify the name of complainant, provide the complainant’s contact information (mailing address, phone, and email), and include sufficient factual background to establish grounds for initiating disciplinary proceedings against a member. If the complainant alleges that the member has violated a Code provision or Rule or has engaged in other conduct that would provide grounds for discipline, the complainant should identify each Rule, Code provision, or grounds.
 - 3) A Complaint shall be directed to the attention of the Executive Director/CEO (“Executive”) of the member’s Region. If a Complaint is against the Executive, the Complaint shall be directed to the attention of the Chair of Region Board, who shall assume the role of the Executive for purposes of these Procedures.
 - 4) If a Region receives a Complaint regarding a member of another Region, the receiving Region shall promptly forward the Complaint to the member’s Region.

- 5) Should a complainant need to amend a Complaint, the complainant shall promptly provide such amendment in writing.

b. Investigative Process

- 1) The Executive shall be responsible for investigating a Complaint. The Executive may delegate investigative authority to a Region staff member or other appropriate party, including an outside investigator. However, such delegate shall only have authority to make recommendations to the Executive as to whether Disciplinary Action is warranted.
- 2) The Executive has the investigative authority to:
 - a) Collect facts and evidence relevant to the Complaint, including by interviewing the member and other witnesses and obtaining relevant evidence.
 - b) Determine the merits of the Complaint.
 - c) Determine whether Disciplinary Action is warranted.
- 3) Prior to reaching any conclusion that Disciplinary Action is warranted, the Executive must afford the accused member an opportunity to provide mitigating or exculpatory evidence.
- 4) Upon completion of an investigation, the Executive shall prepare a report summarizing the allegations of the Complaint, the investigation process, the Executive's findings and conclusions, and the Executive's determination as to whether and what Disciplinary Action is warranted.
- 5) If the Executive determines that the Complaint is not supported or that it has been resolved such that no Disciplinary Action is warranted, the Executive may dismiss the Complaint or close the case.

c. Provisional Suspension

- 1) To protect the complainant, other members, and the integrity of the Executive's investigation, the Executive may temporarily suspend the membership of an accused member until completion of the Executive's investigation or exhaustion of any appeal period.

4. Disciplinary Action.

- a. Following the completion of an investigation, if the Executive determines that disciplinary action is warranted, the Executive has the authority to impose any of the following disciplinary action against a member ("Disciplinary Action"):
 - 1) Letter of warning or reprimand. A letter of warning or reprimand carries with it no loss of membership or membership rights. The purpose is to place a member on notice that

particular action is not condoned and to cease engaging in such conduct.

- 2) Probation. Probation is more serious than a letter of warning or reprimand and serves as notice to the member that the conduct is contrary to the requirements of membership and grounds for more serious discipline should the conduct continue. Probation shall be imposed for a specified period of not more than one year and with, or without, loss of full membership privileges. Probation may include other reasonable conditions as a condition of probationary status.
 - 3) Suspension. Suspension means all membership privileges are forfeited during the suspension period, at the end of which full membership privileges may be restored. Suspension shall be imposed for a period of not more than one year.
 - 4) Termination of Membership. Termination means all membership privileges are forfeited and the terminated party is no longer a member of the Region or National.
- b. If the Executive determines to impose Disciplinary Action against a member, the Executive shall notify the member in writing of the Disciplinary Action and reasons supporting the decision, including the specific grounds and conduct warranting discipline. In order to protect the privacy or safety of the complainant and/or witnesses, the Executive may withhold the identity of the complainant or any witnesses who participated in the Executive's investigation.
 - c. Disciplinary Action involving a letter of reprimand shall take effective immediately. If the Disciplinary Action involves probation, suspension, or termination of membership, the Executive shall notify the member of the right to appeal the Disciplinary Action.
 - d. The Executive shall notify his or her Region Board of any Disciplinary Action imposed, whether or not the member elects to appeal the decision.

5. Appeal and Hearing

- a. A member may appeal an Executive's imposition of Disciplinary Action for probation, suspension, or termination of membership as follows:
 - 1) Appeal Request: Requests for an appeal shall be made in writing to the Chair of the Region Board and must be received by no more than thirty (30) calendar days after the member has been notified of the disciplinary action.
 - 2) Hearing: The appeal hearing shall be held as soon as feasible and in no event later than sixty (60) calendar days after the appeal request is filed with the Region Board. The member shall be given the opportunity at the hearing to argue why the Disciplinary Action should not be imposed. Formal rules of evidence shall not apply to the hearing and no new evidence or witness testimony shall be permitted without advance permission of the Region Board. The Executive may address the Board at the hearing and shall be present to answer any questions from the Board. The member may, with advance notice, have legal counsel present to advise the member.

- 3) Decision: The Region Board shall make a decision in writing within thirty (30) days of the appeal hearing and transmit a copy of the decision to the member by certified mail, return receipt requested.
- b. If the member does not timely request an appeal or if the member fails to attend a scheduled appeal hearing, the Executive's decision shall take effect thirty (30) calendar days after the Executive transmits the Disciplinary Action decision to the member.

6. Termination of Membership

- a. Termination of a member's membership in a Region shall automatically terminate such person's membership in National.
- b. The Region shall immediately notify National in writing upon a member's termination or suspension.
- c. All Regions will respect and afford reciprocity to all disciplinary decisions made by another PSIA-AASI Region. Members will not have the ability to join other Regions if they were terminated in one of the other Regions.