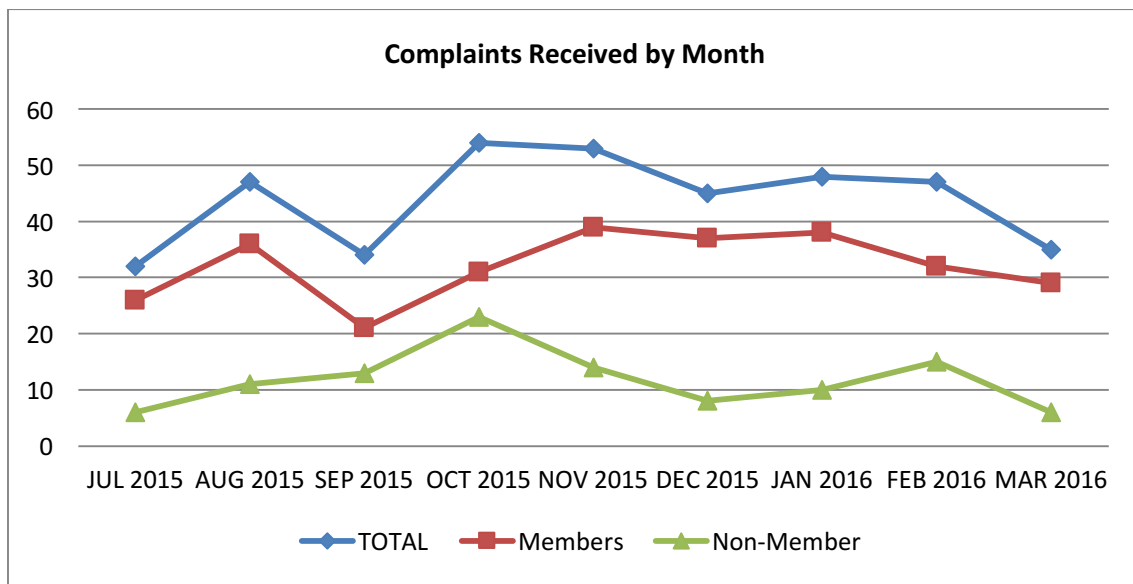


Complaints and Professional Standards

New Complaints Received 1 July 2015 to 31 March 2016

	YEAR END JUN 2012	YEAR END JUN 2013	YEAR END JUN 2014	YEAR END JUN 2015	1 JUL 2015 – 31 MAR 2016	SINCE INCEPTION
Member Files Received	241	302	308	330	289	1,470
Non-Member Files Received	182	373	201	253	106	1,115
	423	675	509	583	395	2,585



Summary of Open and Closed Complaint Files

	YEAR END JUN 2012	YEAR END JUN 2013	YEAR END JUN 2014	YEAR END JUN 2015	1 JUL 2015 – 31 MAR 2016	SINCE INCEPTION
New files received this month against Members	241	302	308	330	289	1,470
New files received this month against Non-Members	182	373	201	253	106	1,115
TOTAL COMPLAINTS RECEIVED	423	675	509	583	395	2,585
CLOSED FILES						
Non-Member Complaints	177	375	200	257	104	1,113
Member Complaints Closed at Investigations (Old Protocol)	137	263	240	208	72	920
Member Complaints Closed at Complaints Committee (NOT REFERRED)	0	7	20	23	52	102
Member Complaints Decided at Discipline Committee	0	1	6	27	17	51
TOTAL COMPLAINTS CLOSED	314	646	466	515	245	2,186
OPEN FILES						
With Investigations	123					
With Complaints Committee	150					
With Discipline Counsel for review	0					
PreHearing Negotiations between Discipline Counsel, Member and Member's Counsel	45					
With Appeal Committee	1					
TOTAL OPEN FILES IN-PROCESS	319	12.3%				

There are 38 cases pending before a hearing panel of the Discipline Committee which is scheduled to meet the last week of April 2016.

The articles of the original *Code of Professional Ethics* which have been cited in these complaints are:

YEAR END JUN 2012	YEAR END JUN 2013	YEAR END JUN 2014	YEAR END JUN 2015	1 JUL 2015 – 31 MAR 2016		
NUMBER OF ALLEGATIONS	NUMBER OF ALLEGATIONS	NUMBER OF ALLEGATIONS	NUMBER OF ALLEGATIONS	NUMBER OF ALLEGATIONS	CODE ARTICLE	ARTICLE TITLE
22	0	0	0	0	1	Intention of Code
3	1	0	0	0	2	Interpretation
20	128	58	43	170	3	Ethical Practice
75	171	40	74	205	4	Professionalism
72	94	7	49	124	5	Competence
305	152	94	128	185	6	Quality of Service
70	76	13	18	143	7	Advising Clients
1	11	2	1	1	8	Confidentiality
1	2	1	3	0	9	Conflict of Interest
2	9	5	5	11	10	Preservation of Client Property
0	0	0	2	0	11	ICCRC Member as Advocate
111	33	20	58	15	12	Retainer and Fees
0	0	0	1	0	13	Joint Retainers
91	31	11	1	1	14	Withdrawal from Representation
0	4	0	1	1	15	Outside Interests
10	19	3	3	4	16	Advertising, Soliciting and Making Services Available
5	2	2	2	0	17	Discrimination and Harassment
5	1	0	3	0	18	Errors and Omissions
0	1	0	0	0	19	Disciplinary Authority

It is important to remember that one single complaint could involve different sections of the *Code*.

Please note the *Code of Professional Ethics* was extensively updated and revised in early 2016.

Member Files Closed/Referred

	YEAR END JUN 2012	YEAR END JUN 2013	YEAR END JUN 2014	YEAR END JUN 2015	1 JUL 2015 – 31 MAR 2016	SINCE INCEPTION
Closed - Recommended to CBSA	5	14	57	4	19	99
Closed - sent to Law Society	0	0	0	1	0	1
Closed - Situation mediated and/or resolved	1	33	12	6	0	52
Not within ICCRC Jurisdiction	0	0	4	3	0	7
Closed - Member Revoked	0	0	1	15	28	44
Closed - Member Deceased	0	1	0	0	0	1
Closed - Submitted anonymously	1	2	0	0	0	3
Complaint form not returned	0	28	21	11	1	61
Closed - Unfounded or could not be proved	2	177	144	129	1	453
Closed	128	8	1	39	5	181
	137	263	240	208	54	902

Non-Member Files Closed/Referred

	YEAR END JUN 2012	YEAR END JUN 2013	YEAR END JUN 2014	YEAR END JUN 2015	1 JUL 2015 – 31 MAR 2016	SINCE INCEPTION
Involving unauthorized representatives sent to CBSA, RCMP	45	257	121	153	93	669
Sent to Law Society	2	2	3	9	3	19
Situation mediated and/or resolved	0	2	0	0	1	3
Not within ICCRC Jurisdiction	0	21	21	66	7	115
Unfounded or could not be proved	0	43	18	11	0	72
Complaint form not returned	0	45	37	10	0	92
Closed - Other	130	5	0	8	0	143
	177	375	200	257	104	1113

Decisions of Discipline Hearings

	YEAR END JUN 2012	YEAR END JUN 2013	YEAR END JUN 2014	YEAR END JUN 2015	1 JUL:2015 – 31 MAR 2016	SINCE INCEPTION
FILE CLOSED BY Discipline Counsel						
Prosecution not viable	0	0	0	5	5	10
Administratively revoked by Registrar	0	1	0	11	0	12
HEARINGS CONCLUDED - No Appeal Filed						
No finding of guilt - case dismissed	0	0	0	0	1	1
Finding of guilt - DC Monitoring	0	0	0	2	4	6
Caution only	0	0	0	0	0	0
Remedial education order only	0	0	0	0	0	0
Short-term suspension (plus)	0	0	0	1	0	1
Permitted to resign - re-admission possible	0	0	0	0	0	0
Permitted to resign - Lifetime prohibit on readmission	0	0	6	0	0	6
Revocation - re-admission possible	0	0	0	0	0	0
Revocation - lifetime prohibit on readmission	0	0	0	1	1	2
No finding of guilt - charges withdrawn	0	0	0	0	1	1
No finding of guilt - charges abandoned	0	0	0	0	5	5
	0	1	6	20	17	44