

## 1. Purpose

The purpose of this document is to define the procedure for dealing with disciplinary matters.

## 2. Applicability

- 2.1 This procedure is to be applied from the date at the top and bottom of this document.
- 2.2 It shall apply to members of the SEG Board, SEG standard certificate holders and SEG members.
- 2.3 It shall apply when there are allegations of breaches of the SEG member requirements, code of conduct, SEG standard, communications policy or other SEG procedures or requirements.

## 3. Procedure

- 3.1 Upon receipt of an allegation of a breach, a member of the SEG Board will be appointed by the Chairman to investigate (the 'investigator'). Two of the remainder of the SEG Board (not the Chairman) will be appointed as the Investigation Panel.
- 3.2 If it is an alleged breach of the SEG standard, an independent assessor or Conformance Assessment Body will be appointed to investigate.
- 3.3 The Investigator will gather as much independent evidence about the alleged breach as possible. Within a maximum of seven days, the investigator will present the evidence to the breachee asking them to explain or provide their version of events within seven days.
- 3.4 Within a further seven days, the Investigator must decide whether, on the balance or probability, there are sufficient grounds to investigate further, or whether there is clearly no case to answer, or if there has clearly been a breach.
- 3.5 If further investigation is required, the breachee will be suspended for the duration of the investigation. That might be a SEG employee from employment, a member from membership, or a SEG certificate holder from certification.
- 3.6 The Investigator will progress the investigation as quickly and carefully as possible, and ideally within 1 month. He/she will complete and present an investigation report, with conclusions and recommendations to the Investigation Panel. The Investigation Panel will decide on the outcome of the investigation and the appropriate sanction.
- 3.7 If the allegation is upheld, an appropriate sanction will be applied according to the seriousness of the breach. Examples include production of a Remediation Plan and potentially suspension of membership or certification for an appropriate length of time.
- 3.8 Appeals may be made to the Chairman within 2 weeks. If it is felt that the Chairman cannot or has not acted independently, an external investigator will be appointed.
- 3.9 Whether the allegation is upheld or overruled, both the reporter and the breachee will be informed of the outcome within 7 days of the conclusion of the investigation.

## 4. Review

- 4.1 This procedure shall be reviewed by 31 May 2022, or sooner according to feedback and experience.