

HORIZONS NOTICE

Notice of Discipline Committee Decision and Order Cases #10-09 & 10-10

The Discipline Committee conducted a hearing on January 31, 2014 into a complaint of the Professional Conduct Committee ("the PCC").

The general nature of the complaint was that the member, Ronald Williams, did not provide a 'Corrective Action Plan' to the Institute within the time specified by the PCC or a reasonable time thereafter. The Practice Appraisal Committee had directed the member to provide a 'Corrective Action Plan' to the Institute in response to practice inspection findings; and that the member did not provide to the Institute client engagement files requested by the PCC in conjunction with its investigation of the conduct of the member within the time specified in the request or a reasonable time thereafter.

The allegation was that the member breached bylaws 104(1) and 104(2) (amended and renumbered as 193.1 and 193.2 in May 2011) which state:

- 104 (1) A member, student or firm shall cooperate with the Institute in regard to the Institute's registration and regulatory activities.
- (2) At the written request of the Institute on behalf of a committee appointed by Council, a member, student or firm shall provide to the Institute any files, documents or other materials in their possession, custody or control which are relevant to the work of a committee. The information shall be provided within the time specified in the request.

The Discipline Committee found that the member did violate bylaws 104(1) and 104(2) and therefore issued a sanction Order.

The member appealed the determination and Order of the Discipline Committee. The member and the PCC reached a Joint Submission on this appeal which was presented to an appeal panel (members of Council) on August 21, 2014.

At the appeal hearing, Council accepted and agreed with the Joint Submission and Minutes of Settlement, wherein the member withdrew his appeal of the Discipline Committee determination, and therefore issued the following Order:

- The member receive and acknowledge in writing a letter of reprimand
- The member pay a fine of \$1,100

Further, Council also ordered that a notice of this decision and Order be published in the Institute newsletter and posted on the Institute's website on a named basis.