

# DISCIPLINARY PROCESS – ADDITIONAL DETAIL



Date approved: 1 December 2020

## 1. Scope

- a. Financial counselling is a national profession, underpinned by national standards.
- b. A key objective of FCAT is to ensure that its rules give it the right to investigate a complaint made about one of its members that suggests unsatisfactory professional conduct on the part of the member.
- c. Rule 5(12) states that all members agree to abide by the Association Constitution, the Australian Financial Counselling Code of Ethical Practice and the Australian Financial Counselling Association Disciplinary Process: Policy and Procedures and policies and procedures as approved and amended by the Association.
- d. This process document provides additional detail to the processes defined in the Financial Counselling Association Disciplinary Process: Policy and Procedures.

## 2. Appeals Process

- a. The Panel comprising three persons (at least one person to be a non-member of FCAT) to consider an appeal has the delegated authority of the Committee to uphold the Committee's decision or to substitute a different decision.
- b. The Panel is to convene an appeal hearing within 21 days after the day the requisition of an appeal is received by the Public Officer. (refer Section 4.2.2 of processes defined in the Financial Counselling Associations Disciplinary Process: Policy and Procedure.