

IET Disciplinary Regulations

Privacy Notice

This document should be read in conjunction with the IET's main Privacy Notice, available at www.theiet.org/help/privacy.

The table below sets out the personal information that will be processed at each stage of the disciplinary process, and by whom. References to "IET staff" means those IET staff that need to know the information.

	Stage of disciplinary process	Member information	Who is the member's information shared with?	Complainant information	Who is the complainant's information shared with?	Witness information	Who is the other person's information shared with?
1	<ul style="list-style-type: none"> • Receipt/initiation of complaint • Complaint Secretary initial considerations 	<ul style="list-style-type: none"> • Name of individual complained about • Other details to verify the identity of the individual complained about to ensure they are an IET member. This might include: <ul style="list-style-type: none"> ○ Date of birth ○ Membership number ○ Home address ○ Email address 	<ul style="list-style-type: none"> • IET staff • IET advisors <p>Where the Complaint Secretary considers that the issue should be referred to the police or any other agency, authority or body, the IET may either:</p> <p>i) Refer the complainant to the</p>	<ul style="list-style-type: none"> • Name • Other identifying information as supplied by complainant • Details of the complaint • Any further details in response to Complaint Secretary requests for 	<ul style="list-style-type: none"> • IET staff • IET advisors 	<ul style="list-style-type: none"> • Witnesses to the alleged improper conduct, as such information is supplied by the complainant. This might include: <ul style="list-style-type: none"> ○ Name ○ Home address ○ Email address (work and/or personal) ○ Employer information 	<ul style="list-style-type: none"> • IET staff • IET advisors

		<p>(work and/or personal)</p> <ul style="list-style-type: none"> ○ Employer information • Details of the alleged misconduct 	<p>police or any other agency, authority or body; or</p> <p>ii) Make the referral to the police or any other agency, authority or body</p>	<p>further information</p>		<ul style="list-style-type: none"> • Details of witnesses' involvement in the complaint, as such information is supplied by the complainant 	
2	Preliminary Investigation Board – Conflict of interest check	<ul style="list-style-type: none"> • Name of individual complained about • Other details to verify the identity of the individual complained about to ensure no conflict 	<ul style="list-style-type: none"> • Three members of the Preliminary Investigation Board, who are invited to form a Preliminary Investigation Panel to consider the case • Any additional members of the Preliminary Investigation Board where a conflict has been identified 	<ul style="list-style-type: none"> • Name • Other details to verify the identity of the complainant to ensure no conflict 	<ul style="list-style-type: none"> • Three members of the Preliminary Investigation Board, who are invited to form a Preliminary Investigation Panel to consider the case • Any additional members of the Preliminary 	<ul style="list-style-type: none"> • Name • Other details to verify the identity of the witness to ensure no conflict 	<ul style="list-style-type: none"> • Three members of the Preliminary Investigation Board, who are invited to form a Preliminary Investigation Panel to consider the case • Any additional members of the Preliminary

					Investigation Board where a conflict has been identified		Investigation Board where a conflict has been identified
3	Preliminary Investigation Panel – initial consideration of the complaint (PIP1)	<ul style="list-style-type: none"> As per row 1 above 	<ul style="list-style-type: none"> Preliminary Investigation Panel IET staff IET advisors 	<ul style="list-style-type: none"> As per row 1 above 	<ul style="list-style-type: none"> Preliminary Investigation Panel IET staff IET advisors 	<ul style="list-style-type: none"> As per row 1 above 	<ul style="list-style-type: none"> Preliminary Investigation Panel IET staff IET advisors
4	PIP 1 Decision – where matter does not raise an issue of improper conduct worthy of further consideration	<ul style="list-style-type: none"> Decision of PIP1 	<ul style="list-style-type: none"> Member Complainant 				
5	Investigation	<ul style="list-style-type: none"> As per row 1 above Details ascertained during course of investigation 	<ul style="list-style-type: none"> IET staff IET advisors IET third party investigators¹ Complainant Witnesses 	<ul style="list-style-type: none"> As per row 1 above Details ascertained during course of investigation 	<ul style="list-style-type: none"> IET staff IET advisors IET third party investigators Member 	<ul style="list-style-type: none"> As per row 1 above Witnesses, as such information is supplied by the member. This might include: 	<ul style="list-style-type: none"> IET staff IET advisors IET third party investigators Member

¹ The third party investigators are a separate data controller and will issue their own privacy notice in respect of the investigation they are instructed to carry out.

					<ul style="list-style-type: none">• Witnesses	<ul style="list-style-type: none">○Name○Home address○Email address (work and/or personal)○Employer information• Details of witnesses' involvement, as such information is supplied by the member• Details ascertained during course of investigation	<ul style="list-style-type: none">• Complainant
6	Preliminary Investigation Panel – consideration of the investigator's report and recommendation (PIP2)	<ul style="list-style-type: none">• As per row 5 above	<ul style="list-style-type: none">• Preliminary Investigation Panel• IET staff• IET advisors• Member (will receive a copy of the Investigator's report only)	<ul style="list-style-type: none">• As per row 5 above	<ul style="list-style-type: none">• Preliminary Investigation Panel• IET staff• IET advisors• Member (will receive a copy of the Investigator's report only)	<ul style="list-style-type: none">• As per row 5 above	<ul style="list-style-type: none">• Preliminary Investigation Panel• IET staff• IET advisors• Member (will receive a copy of the Investigator's report only)

7	PIP2 – where no further action	<ul style="list-style-type: none"> Decision of PIP2 	<ul style="list-style-type: none"> IET staff IET advisors Member Complainant 				
8	PIP2 – where referring to another body or procedure	<ul style="list-style-type: none"> Decision of PIP2 	<ul style="list-style-type: none"> IET staff IET advisors Relevant body Member (unless otherwise prohibited) 				
9	PIP2 – where proposing ABAS	<ul style="list-style-type: none"> Decision of PIP2 and ABAS details 	<ul style="list-style-type: none"> IET staff IET advisors Member Complainant – where ABAS accepted, and only to confirm conclusion of process (not sanction) 				
10	Disciplinary Board – Conflict of interest check	<ul style="list-style-type: none"> Name of individual complained about Other details to verify the identity of the individual complained about to ensure no conflict 	<ul style="list-style-type: none"> Three members of the Disciplinary Board, who are invited to form a Disciplinary Panel to consider the case 	<ul style="list-style-type: none"> Name Other details to verify the identity of the complainant to ensure no conflict 	<ul style="list-style-type: none"> Three members of the Disciplinary Board, who are invited to form a 	<ul style="list-style-type: none"> Name Other details to verify the identity of the witness to ensure no conflict 	<ul style="list-style-type: none"> Three members of the Disciplinary Board, who are invited to form a

			<ul style="list-style-type: none"> Any additional members of the Disciplinary Board where a conflict has been identified Where a Disciplinary Panel member is objected to by the accused member, the Chair of the Disciplinary Panel will consider the objection, who may be advised by IET staff or IET advisors 		<p>Disciplinary Panel to consider the case</p> <ul style="list-style-type: none"> Any additional members of the Disciplinary Board where a conflict has been identified Where a Disciplinary Panel member is objected to by the accused member, the Chair of the Disciplinary Panel will consider the objection, who may be advised by IET 		<p>Preliminary Investigation Panel to consider the case</p> <ul style="list-style-type: none"> Any additional members of the Disciplinary Board where a conflict has been identified Where a Disciplinary Panel member is objected to by the accused member, the Chair of the Disciplinary Panel will consider the objection, who may be
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					staff or IET advisors		advised by IET staff or IET advisors
11	Disciplinary panel – preliminary / procedural issues	<ul style="list-style-type: none"> • All information pertaining to the issue to be determined 	<ul style="list-style-type: none"> • Chair of Disciplinary Panel, or full Disciplinary Panel, as applicable • IET staff • IET advisors (including legal assessor) • Presenter • Member advisors / representative (if so appointed) 	<ul style="list-style-type: none"> • All information pertaining to the issue to be determined 	<ul style="list-style-type: none"> • Chair of Disciplinary Panel, or full Disciplinary Panel, as applicable • IET staff • IET advisors (including legal assessor) • Presenter • Member • Member advisors / representative (if so appointed) 	<ul style="list-style-type: none"> • All information pertaining to the issue to be determined 	<ul style="list-style-type: none"> • Chair of Disciplinary Panel, or full Disciplinary Panel, as applicable • IET staff • IET advisors (including legal assessor) • Presenter • Member • Member advisors / representative (if so appointed)
12	Disciplinary Panel - hearing	<ul style="list-style-type: none"> • As per row 5 • Any further evidence submitted in preparation for the Disciplinary Panel hearing 	<ul style="list-style-type: none"> • Disciplinary Panel • IET staff • IET advisors (including legal assessor) • Presenter 	<ul style="list-style-type: none"> • As per row 5 • Any further evidence submitted in preparation for the Disciplinary 	<ul style="list-style-type: none"> • Disciplinary Panel • IET staff • IET advisors (including legal 	<ul style="list-style-type: none"> • As per row 5 • Any further evidence submitted in preparation for the Disciplinary Panel hearing 	<ul style="list-style-type: none"> • Disciplinary Panel • IET staff • IET advisors (including legal assessor)

		<ul style="list-style-type: none"> Any further documentary evidence admitted during the Disciplinary Panel hearing All oral evidence submitted during the Disciplinary Panel hearing Where the Disciplinary Panel hearing is convened in accordance with Regulation 17.10, all evidence produced as part of the appeal. 	<ul style="list-style-type: none"> Member advisors / representative (if so appointed) Attendees of the hearing (including witnesses and those invited by the Disciplinary Panel) 	<p>Panel hearing</p> <ul style="list-style-type: none"> Any further documentary evidence admitted during the Disciplinary Panel hearing All oral evidence submitted during the Disciplinary Panel hearing Where the Disciplinary Panel hearing is convened in accordance with Regulation 17.10, all evidence produced as part of the appeal. 	<ul style="list-style-type: none"> assessor) Presenter Member Member advisors / representative (if so appointed) Attendees of the hearing (including witnesses and those invited by the Disciplinary Panel) 	<ul style="list-style-type: none"> Any further documentary evidence admitted during the Disciplinary Panel hearing All oral evidence submitted during the hearing Where the Disciplinary Panel hearing is convened in accordance with Regulation 17.10, all evidence produced as part of the appeal. 	<ul style="list-style-type: none"> Presenter Member Member advisors / representative (if so appointed) Attendees of the hearing (including witnesses and those invited by the Disciplinary Panel)
13	Disciplinary Panel - decision	<ul style="list-style-type: none"> Decision of Disciplinary Panel 	<ul style="list-style-type: none"> Disciplinary Panel Preliminary Investigation Panel 				

			<ul style="list-style-type: none"> • IET staff • IET advisors (including legal assessor) • Presenter • Member • Complainant – only to confirm conclusion of process (not the decision / sanction) 				
14	Disciplinary Panel – publication of decision (suspension or expulsion only)	<ul style="list-style-type: none"> • Name and post nominals • Sanction • Duration of sanction (suspension only) 	<ul style="list-style-type: none"> • Readers of IET's Member News (digital and print)² 				
15	Disciplinary Panel – publication of decision at the	<ul style="list-style-type: none"> • Name and post nominals • The fact that a 	<ul style="list-style-type: none"> • Readers of IET's Member News (digital and print) 				

² Readers of IET Member News include, but are not limited to, IET members, volunteers, customers and the general public.

The purpose of publishing the sanction (suspension / expulsion) is to uphold professional standards and the integrity of the IET to its members, the sector and the general public. It is necessary and appropriate to correct public perception as to the sanctioned individual's standing with the IET - in the same way that publication of membership, fellowship and professional registration may professionally advantage an individual, that professional advantage may be lost upon publication of membership suspension / termination pursuant to disciplinary action. Therefore, this activity is the singular mechanism for alerting others (including (potential) employers and other membership/professional bodies) that an individual's membership is suspended or terminated and serves to protect the public.

	request of the member	complaint of improper conduct against the member has been dismissed.					
16	Disciplinary Panel – notification of decision to Engineering Council or other regulatory body (suspension or expulsion of registered member only)	<ul style="list-style-type: none"> • Name • Date of birth • Membership number • Home address • Sanction 	<ul style="list-style-type: none"> • Engineering Council / other regulatory body 				
17	Appeal by complainant at PIP1 Stage – Conflict of interest check	<ul style="list-style-type: none"> • Name of individual complained about • Other details to verify the identity of the individual complained about to ensure no conflict 	<ul style="list-style-type: none"> • Independent Reviewer (external volunteer) • Any other individual invited to perform the role of the Independent Reviewer where a conflict has been identified 	<ul style="list-style-type: none"> • Name • Other details to verify the identity of the complainant to ensure no conflict 	<ul style="list-style-type: none"> • Independent Reviewer • Any other individual invited to perform the role of the Independent Reviewer where a conflict has been identified 	<ul style="list-style-type: none"> • Name • Other details to verify the identity of the witness to ensure no conflict 	<ul style="list-style-type: none"> • Independent Reviewer • Any other individual invited to perform the role of the Independent Reviewer where a conflict has been identified

							identified
18	Appeal by complainant at PIP1 Stage	<ul style="list-style-type: none"> As per rows 3 and 4 above Details as set out in the Appeal Notice 	<ul style="list-style-type: none"> Independent Reviewer IET staff IET advisors 	<ul style="list-style-type: none"> As per rows 3 and 4 above Details as set out in the Appeal Notice 	<ul style="list-style-type: none"> Independent Reviewer IET staff IET advisors 	<ul style="list-style-type: none"> As per rows 3 and 4 above Details as set out in the Appeal Notice 	<ul style="list-style-type: none"> Independent Reviewer IET staff IET advisors
19	Independent Reviewer – decision (after PIP1 appeal)	<ul style="list-style-type: none"> Decision of Independent Reviewer 	<ul style="list-style-type: none"> Independent Reviewer IET staff IET advisors Complainant Preliminary Investigation Panel (where the appeal is accepted) 	<ul style="list-style-type: none"> Decision of Independent Reviewer 	<ul style="list-style-type: none"> Independent Reviewer IET staff IET advisors Member (if so directed by the Independent Reviewer) Preliminary Investigation Panel (where the appeal is accepted) 		
20	Appeal by complainant at PIP2 Stage – Conflict of interest check	<ul style="list-style-type: none"> Name of individual complained about Other details to verify the identity of the individual complained about to 	<ul style="list-style-type: none"> Independent Reviewer (external volunteer) Any other individual invited to perform the role of 	<ul style="list-style-type: none"> Name Other details to verify the identity of the complainant to ensure no 	<ul style="list-style-type: none"> Independent Reviewer Any other individual invited to perform the 	<ul style="list-style-type: none"> Name Other details to verify the identity of the witness to ensure no conflict 	<ul style="list-style-type: none"> Independent Reviewer Any other individual invited to perform the

		ensure no conflict	the Independent Reviewer where a conflict has been identified	conflict	role of the Independent Reviewer where a conflict has been identified		role of the Independent Reviewer where a conflict has been identified
21	Appeal by complainant at PIP2 Stage	<ul style="list-style-type: none"> As per rows 6 and 7 above Details as set out in the Appeal Notice 	<ul style="list-style-type: none"> Independent Reviewer IET staff IET advisors 	<ul style="list-style-type: none"> As per rows 6 and 7 above Details as set out in the Appeal Notice 	<ul style="list-style-type: none"> Independent Reviewer IET staff IET advisors 	<ul style="list-style-type: none"> As per rows 6 and 7 above Details as set out in the Appeal Notice 	<ul style="list-style-type: none"> Independent Reviewer IET staff IET advisors
22	Independent Reviewer – decision (after PIP2 appeal)	<ul style="list-style-type: none"> Decision of Independent Reviewer 	<ul style="list-style-type: none"> Independent Reviewer IET staff IET advisors Complainant Preliminary Investigation Panel (where the appeal is accepted) 	<ul style="list-style-type: none"> Decision of Independent Reviewer 	<ul style="list-style-type: none"> Independent Reviewer IET staff IET advisors Member (if so directed by the Independent Reviewer) Preliminary Investigation Panel (where the appeal is accepted) 		

23	Appeal by member – Conflict of interest check (President)	<ul style="list-style-type: none"> Name of individual complained about Other details to verify the identity of the individual complained about to ensure no conflict 	<ul style="list-style-type: none"> President Deputy / Vice Presidents where a conflict has been identified 	<ul style="list-style-type: none"> Name Other details to verify the identity of the complainant to ensure no conflict 	<ul style="list-style-type: none"> President Deputy / Vice Presidents where a conflict has been identified 	<ul style="list-style-type: none"> Name Other details to verify the identity of the witness to ensure no conflict 	<ul style="list-style-type: none"> President Deputy / Vice Presidents where a conflict has been identified
24	Appeal by member – consideration by President	<ul style="list-style-type: none"> Appeal Notice as submitted by the accused member, including all information and evidence attached. 	<ul style="list-style-type: none"> President 	<ul style="list-style-type: none"> Appeal Notice as submitted by the accused member, including all information and evidence attached. 	<ul style="list-style-type: none"> President 	<ul style="list-style-type: none"> Appeal Notice as submitted by the accused member, including all information and evidence attached. 	<ul style="list-style-type: none"> President
25	President - decision	<ul style="list-style-type: none"> Decision of President 	<ul style="list-style-type: none"> President IET staff IET advisors (including legal assessor) Disciplinary Panel (where President makes decision under Regulation 17.1.1) Appeal Panel (where President 				

			makes decision under Regulation 17.1.2)				
26	Appeal by member – Conflict of interest check (Appeal Panel)	<ul style="list-style-type: none"> Name of individual complained about Other details to verify the identity of the individual complained about to ensure no conflict 	<ul style="list-style-type: none"> Six members of other Professional Engineering Institutions, who are invited to form an Appeal Panel to consider the case Where an Appeal Panel member is objected to by the accused member, the President will consider the objection, who may be advised by IET staff or IET advisors 	<ul style="list-style-type: none"> Name Other details to verify the identity of the complainant to ensure no conflict 	<ul style="list-style-type: none"> Six members of other Professional Engineering Institutions, who are invited to form an Appeal Panel to consider the case Where an Appeal Panel member is objected to by the accused member, the President will consider the objection, who may be advised by IET staff or IET 	<ul style="list-style-type: none"> Name Other details to verify the identity of the witness to ensure no conflict 	<ul style="list-style-type: none"> Six members of other Professional Engineering Institutions, who are invited to form an Appeal Panel to consider the case Where an Appeal Panel member is objected to by the accused member, the President will consider the objection, who may be advised by IET staff or IET

					advisors		advisors
27	Appeal Panel – preliminary / procedural issues	<ul style="list-style-type: none"> • All information pertaining to the issue to be determined 	<ul style="list-style-type: none"> • Chair of Appeal Panel, or full Appeal Panel, as applicable • IET staff • IET advisors (including legal assessor) • Presenter • Member advisors / representative (if so appointed) 	<ul style="list-style-type: none"> • All information pertaining to the issue to be determined 	<ul style="list-style-type: none"> • Chair of Appeal Panel, or full Appeal Panel, as applicable • IET staff • IET advisors (including legal assessor) • Presenter • Member • Member advisors / representative (if so appointed) 	<ul style="list-style-type: none"> • All information pertaining to the issue to be determined 	<ul style="list-style-type: none"> • Chair of Appeal Panel, or full Appeal Panel, as applicable • IET staff • IET advisors (including legal assessor) • Presenter • Member • Member advisors / representative (if so appointed)
28	Appeal Panel – hearing	<ul style="list-style-type: none"> • As per row 12, but excluding any oral evidence presented at the Disciplinary Panel hearing. • Any further evidence submitted in preparation for the Appeal Panel hearing 	<ul style="list-style-type: none"> • Appeal Panel • IET staff • IET advisors (including legal assessor) • Presenter • Member advisors / representative (if so appointed) 	<ul style="list-style-type: none"> • As per row 12, but excluding any oral evidence presented at the Disciplinary Panel hearing. • Any further evidence 	<ul style="list-style-type: none"> • Appeal Panel • IET staff • IET advisors (including legal assessor) • Presenter • Member advisors / representative 	<ul style="list-style-type: none"> • As per row 12, but excluding any oral evidence presented at the Disciplinary Panel hearing. • Any further evidence submitted in preparation for the Appeal Panel 	<ul style="list-style-type: none"> • Appeal Panel • IET staff • IET advisors (including legal assessor) • Presenter • Member advisors / representative

		<ul style="list-style-type: none"> Any further documentary evidence admitted during the Appeal Panel hearing All oral evidence submitted during the Appeal Panel hearing 	<ul style="list-style-type: none"> Attendees of the hearing (including witnesses and those invited by the Appeal Panel) 	<p>submitted in preparation for the Appeal Panel hearing</p> <ul style="list-style-type: none"> Any further documentary evidence admitted during the Appeal Panel hearing All oral evidence submitted during the Appeal Panel hearing 	<p>(if so appointed)</p> <ul style="list-style-type: none"> Attendees of the hearing (including witnesses and those invited by the Appeal Panel) 	<p>hearing</p> <ul style="list-style-type: none"> Any further documentary evidence admitted during the Appeal Panel hearing All oral evidence submitted during the Appeal Panel hearing 	<p>e (if so appointed)</p> <ul style="list-style-type: none"> Attendees of the hearing (including witnesses and those invited by the Appeal Panel)
29	Appeal Panel - decision	<ul style="list-style-type: none"> Decision of Appeal Panel 	<ul style="list-style-type: none"> Appeal Panel Disciplinary Panel Preliminary Investigation Panel IET staff IET advisors (including legal assessor) Presenter Member 				

			<ul style="list-style-type: none"> • Complainant – only to confirm conclusion of process (not the decision / sanction) 				
30	Appeal Panel – publication of decision (suspension or expulsion only)	<ul style="list-style-type: none"> • Name and post nominals • Sanction • Duration of sanction (suspension only) 	<ul style="list-style-type: none"> • IET membership via Member News (digital and print³) 				
31	Appeal Panel – notification to Engineering Council or other regulatory body (suspension or expulsion of registered member only)	<ul style="list-style-type: none"> • Name • Date of birth • Membership number • Home address • Sanction 	<ul style="list-style-type: none"> • Engineering Council / other regulatory body 				
32	At any point – where criminal or civil proceedings related to the alleged	<ul style="list-style-type: none"> • Name • Information as to the criminal or civil proceedings related to the alleged 	<ul style="list-style-type: none"> • Preliminary Investigation Board or Chair of Disciplinary Panel (as applicable) 				

³ See footnote 1 above.

	misconduct are under way or likely	misconduct	<ul style="list-style-type: none"> • IET staff • IET advisors • Complainant 				
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With regards to the presenter and member's representative, their details will be shared with all participants at a Disciplinary Panel or Appeal Panel hearing (as applicable) and may be documented within the case-related papers and communications.