



Instructions for Filing and Replying to a Code of Ethics Complaint

Anyone who believes that a NARPM member has violated the [NARPM Code of Ethics](#) may submit a written complaint ("Complaint") to NARPM using the [NARPM Complaint Form](#). The person submitting the complaint is the "Complainant" and the person against whom the Complaint is alleged is the "Respondent."

A. Content of Complaint.

The Complaint must state the names of the Complainant(s) and the Respondent(s), and it must specify the Code of Ethics Article(s) (not merely Standards of Professionalism, which serve only as examples to clarify an Article) alleged to have been violated by the Respondent(s). A Complaint must state the relevant facts that the Complainant believes constitute a violation of the Code of Ethics Article(s) cited. Any evidence supporting the allegations should also be submitted with the Complaint. Note that the burden of proving the allegations in a Complaint falls on the Complainant, who must provide clear and convincing evidence that a NARPM member has violated the Code of Ethics.

The Complaint must be dated and signed by the Complainant.

B. Submission Timeline and Fee.

A Complaint must be filed within one hundred eighty (180) days after: (i) the incident upon which the Complaint is based occurred, or (ii) the Complainant became aware of the incident, whichever is later.

A \$100 administrative fee must be submitted along with any Complaint, to cover the expense involved in reviewing and processing the Complaint. Checks should be made payable to NARPM. Any Complaint submitted without the required fee will be returned and will not be processed.

The \$100 fee will be refunded to the Complainant if: (i) the Complaint results in a finding of a violation of the NARPM Code of Ethics; (ii) NARPM makes an initial determination that the Complaint does not pertain to the Code of Ethics and does not pursue the Complaint; or (iii) the Complainant drops the Complaint prior to a Professional Standards Review Panel meeting to begin the final findings of facts determination.

C. Review Process.

All Complaints shall be submitted to NARPM's headquarters office. Any proper Complaint, submitted in compliance with these instructions, including the required

administrative fee, shall then be forwarded to the NARPM Professional Standards Committee (“Standards Committee”) for review.

The Standards Committee will determine whether the Complaint has merit on its face. If the Standards Committee determines the Complaint does not have merit, it may dismiss the Complaint at this stage. If it determines the Complaint does have merit, it will provide the Respondent(s) with notice of the Complaint and an opportunity to respond, in writing within 20 days of receipt of the notice. If a Respondent fails to respond to the notice in the time allotted, the allegations against the Respondent in the Complaint may be taken as fact.

The Standards Committee will appoint a panel (“Review Panel”) to review the Complaint and any response from the Respondent(s). Either the Standards Committee or the Review Panel may amend the Complaint, to add or remove Articles of the Code of Ethics or to add or remove a member as a Respondent.

The Review Panel shall issue a written determination as to whether there has been a violation of the Code of Ethics, and if so, what sanctions will apply. The decision of the Review Panel shall be sent to the Respondent(s) and the Complainant within 10 days of its issuing.

D. Appeals.

Both the Complainant and the Respondent shall have the right to appeal a dismissal or amendment of the Complaint, or a decision issued by the Review Panel. Instructions for appeal will be included along with notice of the applicable determination provided to the parties. Any appeal must be submitted to NARPM within 20 days of receipt of such notice, and must include a \$200 administrative fee.