

# MTAM COMPLAINT PROCESS

EARLY RESOLUTION

## Complaint Level 1 (Problems)

**An easily remedied level of complaint.** Dealt with by the Executive Director by referring the complainant back to try and deal with the problem themselves or by giving guidance or referral to legal or official information to allow self-resolution if appropriate. Assistance may be sought from external resources or peers, if necessary.

## Complaints Level 2 (Grievances)

**Moderate level of complaint that may be resolved without requiring a formal complaint.** Dealt with by the Executive Director with guidance from members of the Complaints Committee, if necessary. After investigating the issues of grievance, speaking to other parties to uncover and provide additional information or a clearer explanation directly to the complainant.

## Complaint Level 3 (Misconduct)

**Highest level of complaint where significant intervention may be required.**

MTAM Complaint & Discipline Processes will be used. Professional Investigator and Ethics Advisor lead an investigation.

1. Formal written complaint against a Member must be submitted.
2. Investigation is opened.
3. Member is contacted and an interview is set up for review of the full text or summary of the complaint.
4. Preliminary interview, review of SOAP notes and relevant information to uncover full details.
5. Complainant may be interviewed as well to clarify or elaborate on case details

## ASSESSMENT

Legal consultation, if required.

## FURTHER INVESTIGATION

Determining what if any facts or evidence can be agreed upon by all parties, simplifying issues, identifying legal concerns, exploring the possibility of other forms of resolving the matter, any other information that will allow a fair conclusion.

## ADDITIONAL CONCERNS

In the course of an investigation, if additional concerns are uncovered, it is the duty of the MTAM to respond and resolve. Further action may be taken in context of the current complaint or an additional complaint will be filed.

## DECISIONS

### UNFOUNDED

Means the allegation and supporting information suggest the complaint did not happen, or is without a reasonable basis.

### NO AUTHORITY

Means the MTAM has no jurisdiction or authority pertaining to the complaint e.g. legal matters, business and contract disputes, and interpersonal conflicts.

### INCONCLUSIVE

Means that although the allegation may have happened or is valid in whole or in part, there is not a preponderance of evidence to prove that the alleged infraction occurred.

### UNINTENDED WRONGDOING

Means where there is misunderstanding, carelessness, or misinterpretation and where the infraction is not sufficiently serious to warrant the imposition of formal discipline although a hearing may still be held.

### SUBSTANTIVE

Means the complaint is supported by facts and evidence. The Chair of the Complaints Committee must convene a Discipline Hearing

*The MTAM shares in the responsibility to ensure members have the tools, coaching, or professional advice to help them avoid interpersonal conflict, business-related conflicts and/or other workplace conflicts in the future.*

## RESOLUTIONS

### GUIDANCE & RESOURCES

The MTAM will provide resources, tools, and/or coaching to resolve issues and create a final plan of action.

### REFERRALS

The MTAM will refer to legal resources, professional mediators, accountants and other professionals as required.

### MENTORSHIP & EDUCATION

Especially where standards of practice are in question, education, mentorship and correction will need to be completed. The MTAM will provide resources, mentorship or have the Member, at their cost, take a course.

## FILE IS CLOSED

## DISCIPLINE HEARING

See DISCIPLINE PROCESS