

Ethics and Arbitration Committee of the DVG e.V.

1. PROCEDURES FOR THE SUBMISSION OF COMPLAINTS

1.1 Initial contact

General questions on the processing of and criteria for complaints can be answered on the telephone or by e-mail by any member of the Committee (hereinafter referred to as the "EAC").

The information sheet of the Ethics and Arbitration Committee (EAC), the Ethics Guidelines of the DVG and this document, the procedures of the EAC, can be sent on request.

Complaints by a member of the DVG or a non-member should be submitted in writing and contain the following:

- a description of the accusation;
- the releases from the obligation to confidentiality required by the EAC;
- a declaration by the person submitting the complaint to the effect that s/he renounces all rights to request from the EAC or its representatives by court order any documents or information pertaining to the complaint for the purpose of private legal proceedings
- if necessary an application for suspension of the five-year time limit

1.2 Examination of the possibility of arbitration

For all complaints submitted it will be investigated whether arbitration talks are expedient and possible, on the condition that the complainant and the person about whom the complaint has been made are willing.

1.3 Assessment of complaints

The EAC will then check each complaint to establish whether the competence criteria are fulfilled, the complaint is justified, an arbitration appropriate and possible and whether the complaint has been submitted within the five-year time limit.

Anonymous complaints will not be considered.

The EAC will also examine the earnestness and intention of the complaints submitted. Assertions that are implausible, speculative and/or inconsistent will not be considered.

If a complaint itself violates ethical guidelines and principles the EAC can take action against the complainant him-/herself.

Counter-complaints will not be considered so long no solution has been arrived at regarding the original complaint.

Several simultaneous complaints against one member can be considered jointly if the respective legitimate claims to confidential treatment of the complainants, witnesses or the person about whom the complaints have been made are not thus jeopardised.

1.4 Notification of the person about whom the complaint has been made

When a complaint has been accepted for processing the EAC will inform the person about whom the complaint has been made in writing. This written notification will contain an exact description of the alleged behaviour concerned and state which specific sections of the Ethics Guidelines the person is accused of having violated.

The EAC will enclose with this letter:

- a copy of the written description of the accusation;
- all additional material submitted by the complainant or in his/her name,
- the Ethical Guidelines of the DVG, the procedures of the EAC and a declaration according to which the information submitted by the person about whom the complaint has been made can be included in the documentation of the enquiry if further proceedings follow and all material received from the complainant is to be handled confidentially.

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1.5 The requirement of a personal statement

Although the person about whom the complaint has been made has the right to obtain the advice of a lawyer in all phases of the proceedings, s/he must make a personal statement of his/her position regarding a complaint about unethical behaviour and may not delegate this to a lawyer or third party. If the person about whom the complaint has been made gives good reasons as to why s/he is unable to make a personal statement the EAC can waive this condition.

1.6 Deadline for the response of the person about whom the complaint has been made

After receipt of the complaint the accused person has a period of 30 days within which to make a statement regarding the complaint. If a justified application is submitted the deadline for a response to the complaint by the EAC can be extended.

1.7 Additional or alternative measures

The EAC can request additional information from the complainant or any other suitable source. The EAC can also recommend that the complaint be referred to a competent supervisory body or a court of law.

1.8 Written notification

The complainant and the person about whom the complaint has been made will be informed of any changes occurring and/or new information received during the enquiry and will be given the opportunity to comment before this information and/or changes are employed by the EAC in the ongoing proceedings. They will also be notified in writing when the enquiry has been concluded.

1.9 Appearance in person

The EAC can request the person about whom the complaint has been made to appear in person before the EAC. The said person has no right to a personal appearance.

2. ASSESSMENT AND SANCTIONS

In the event that the EAC comes to the conclusion that no violation of the DVG Ethics Guidelines has taken place it shall justify its decision in writing.

In the event that it concludes that the violations of the DVG Ethics Guidelines have been committed by a member it shall impose a sanction or issue an injunction and justify this in writing. This decision is to be expressed in such a way that the rights to personal privacy of third persons are protected.

3. POSSIBLE SANCTIONS AND ORDERS

The EAC may make use of the following measures.

3.1 Drawing attention to unethical behaviour and order to refrain

It is appropriate to draw attention to unethical behaviour as a sanction when the Ethical Guidelines have been violated but in all probability no or only minor harm has been inflicted on another person or the profession has not suffered any essential damage and the violation was also not so serious in other respects that a more severe sanction would need to be imposed.

3.2 Resignation by mutual consent

If the accused person admits his/her misconduct adequately in writing after the Committee has informed him/her that a complaint has been submitted, the EAC can suggest that the member leave the association by mutual consent.

If the person about whom the complaint has been made accepts the recommended solution that s/he should leave by mutual consent the EAC shall present to the Executive Committee a copy of a statutory declaration of resignation together with the file on this case and the justification for the recommendation of a resignation by mutual consent under the conditions stated in the statutory declaration.

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The Executive Committee will accept the resignation of the person about whom the complaint has been made under the conditions stipulated in the statutory declaration of resignation within 180 days unless it is convinced that such a step would not be in the interests of the DVG and/or the public. If the resignation is accepted by the Executive Committee, the EAC will notify the complainant and the person about whom the complaint has been made of the decision. A copy of the statutory declaration of resignation will be delivered to the complainant.

3.3 Passing on of the decision

The Executive Committee can order the EAC to pass the decision on the final action taken to other appropriate instances.

3.4 Other measures

The EAC can also recommend other measures, e.g. training or supervision or issue other specific instructions.

3.5 Recommendation to the Executive Committee to dissolve the membership

The Executive Committee can dissolve the membership on the recommendation of the EAC. It is appropriate to dissolve the membership if the Ethical Guidelines have been violated and the violation was such that in all probability severe harm was inflicted on another person or the profession or was so serious in some other respect that such a measure is justified.

4. RENEWED COMPLAINTS AFTER CONCLUSION OF THE PROCEEDINGS

Requests by the complainant for re-opening of proceedings that have already been closed are only possible if new information ((documentary) evidence) is simultaneously submitted. The EAC will decide whether the proceedings are to be re-opened after examining the new information.

Date: May 2016