



Supplement 4 to the Sanctions Policy – Disciplinary History

01 January 2008

Version 5 with effect from 01 January 2017

1. Disciplinary History Policy

- 1.1** This is a supplement to the Sanctions Policy and sets out the Regulatory Board's approach to the provision of a Member's or Firm's disciplinary history.

2. Policy Approach

The full disciplinary history of a member or firm will be supplied to Disciplinary and Registration Panels.

3. Disciplinary Panel/Registration Panel

- 3.1** In assessing the emphasis given to disciplinary records supplied to Panels, it will be necessary for Panels to take account of the following:

- Length of time that has elapsed since the disciplinary finding was made; and
- Similarities between the previous disciplinary history and the allegations set out before the Panel.

4. External Requests

- 4.1** Where requests about a member's or firm's disciplinary history are received from third parties (public, clients or employers), all previous disciplinary findings will be deemed to be spent six years following the date of the finding.
- 4.2** However, expulsions and de-registrations will never be spent and may be disclosed.

5. Exceptions

- Fixed Penalties will become spent three years after the penalty has been paid;
- Notwithstanding the fact that a finding is deemed spent, it may be disclosed if RICS considers it in the public interest to do so.

Notes

- For the purpose of this supplement, the date of the disciplinary history will be deemed to be the date at which the relevant Panel imposed the penalty/date of the letter indicating a Fixed Penalty had been applied to the firm/member/date when the consent order was signed by both parties.
- This supplement will apply to disciplinary findings under the Disciplinary, Registration and Appeal Panel Rules and all previous disciplinary rules.



Confidence through professional standards

RICS promotes and enforces the highest professional qualifications and standards in the development and management of land, real estate, construction and infrastructure. Our name promises the consistent delivery of standards – bringing confidence to the markets we serve.

We accredit 125,000 professionals and any individual or firm registered with RICS is subject to our quality assurance. Their expertise covers property, asset valuation and real estate management; the costing and leadership of construction projects; the development of infrastructure; and the management of natural resources, such as mining, farms and woodland. From environmental assessments and building controls to negotiating land rights in an emerging economy; if our professionals are involved the same standards and ethics apply.

We believe that standards underpin effective markets. With up to seventy per cent of the world's wealth bound up in land and real estate, our sector is vital to economic development, helping to support stable, sustainable investment and growth around the globe.

With offices covering the major political and financial centres of the world, our market presence means we are ideally placed to influence policy and embed professional standards. We work at a cross-governmental level, delivering international standards that will support a safe and vibrant marketplace in land, real estate, construction and infrastructure, for the benefit of all.

We are proud of our reputation and we guard it fiercely, so clients who work with an RICS professional can have confidence in the quality and ethics of the services they receive.

United Kingdom RICS HQ

Parliament Square, London
SW1P 3AD United Kingdom

t +44 (0)24 7686 8555
f +44 (0)20 7334 3811
contactrics@rics.org

Media enquiries
pressoffice@rics.org

Ireland

38 Merrion Square, Dublin 2,
Ireland

t +353 1 644 5500
f +353 1 661 1797
ricsireland@rics.org

Europe

[excluding UK and Ireland]
Rue Ducale 67,
1000 Brussels,
Belgium

t +32 2 733 10 19
f +32 2 742 97 48
ricseurope@rics.org

Middle East

Office B303,
The Design House,
Sufouh Gardens,
Dubai, UAE
PO Box 502986

t +971 4 446 2808
ricsmena@rics.org

Africa

PO Box 3400,
Witkoppen 2068,
South Africa

t +27 11 467 2857
f +27 86 514 0655
ricsafrica@rics.org

Americas

One Grand Central Place,
60 East 42nd Street, Suite #542,
New York 10165 – 2811, USA

t +1 212 847 7400
f +1 212 847 7401
ricsamericas@rics.org

South America

Rua Maranhão, 584 – cj 104,
São Paulo – SP, Brasil

t +55 11 2925 0068
ricsbrasil@rics.org

Oceania

Suite 1, Level 9,
1 Castlereagh Street,
Sydney NSW 2000, Australia

t +61 2 9216 2333
f +61 2 9232 5591
oceania@rics.org

East Asia

3707 Hopewell Centre,
183 Queen's Road East
Wanchai, Hong Kong

t +852 2537 7117
f +852 2537 2756
ricseastasia@rics.org

China (Shanghai)

Room 2006, Garden Square,
968 Beijing Road West,
Shanghai, China

t +86 21 5243 3090
f +86 21 5243 3091
ricschina@rics.org

China (Beijing)

Room 2507-2508B, Jing Guang Centre,
No.1 Hu Jia Lou Road, Chaoyang District
Beijing 100020, China

t +86 10 6597 8586
f +86 10 6581 0021
ricschina@rics.org

Japan

Level 14 Hibiya Central Building,
1-2-9 Nishi Shimbashi Minato-Ku,
Tokyo 105-0003, Japan

t +81 3 5532 8813
f +81 3 5532 8814
ricsjapan@rics.org

ASEAN

#27-16, International Plaza,
10 Anson Road,
Singapore 079903

t +65 6812 8188
f +65 6221 9269
ricssingapore@rics.org

South Asia

48 & 49 Centrum Plaza,
Sector Road, Sector 53,
Gurgaon – 122002, India

t +91 124 459 5400
f +91 124 459 5402
ricsindia@rics.org