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Upper Canada | Barreau  
du Haut-Canada

# **The Professional Regulation Division**

## **Quarterly Report**

January – March 2016

## **The Quarterly Report**

The Quarterly Report provides a summary of the Professional Regulation Division's activities and achievements during the past quarter, January 1 to March 31, 2016. The purpose of the Quarterly Report is to provide information on the production and work of the Division during the quarter, to explain the factors that may have influenced the Division's performance, and to provide a description of exceptional or unusual projects or events in the period.

### **The Professional Regulation Division**

Professional Regulation is responsible for responding to complaints against licensees, including the resolution, investigation and prosecution of complaints which are within the jurisdiction provided under the *Law Society Act*. In addition the Professional Regulation provides trusteeship services for the practices of licensees who are incapacitated by legal or health reasons. Professional Regulation also includes the Compensation Fund which compensates clients for losses suffered as a result of the wrongful acts of licensees.

See Appendices for a case flow chart describing the complaints process as well as a description of the Professional Regulation division processes and organization.

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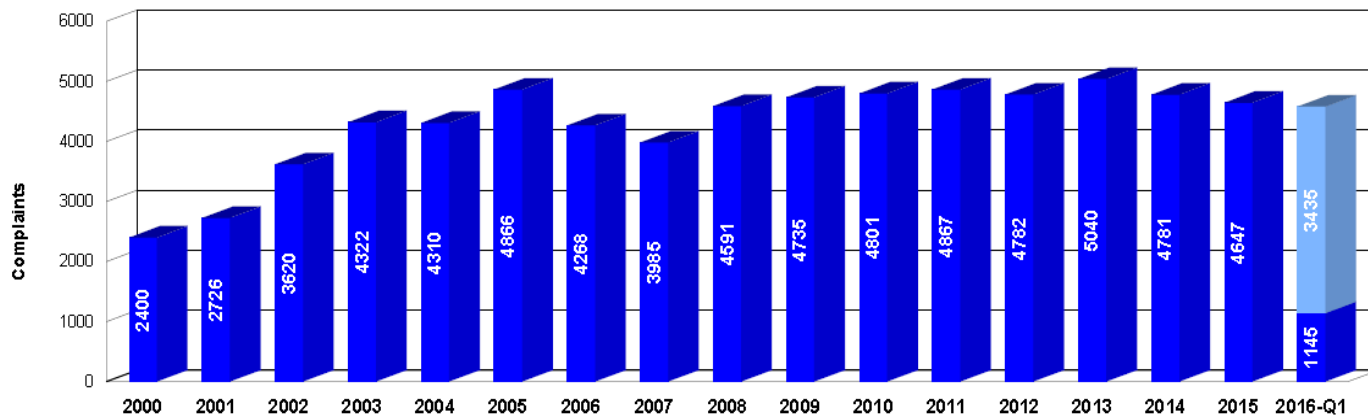
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## **SECTION 1**

### **DIVISIONAL PERFORMANCE DURING THE QUARTER**

## PERFORMANCE IN THE PROFESSIONAL REGULATION DIVISION

**Graph 1A: Complaints<sup>1</sup> Received in the Division**



For 2016, the graph displays actual complaints received in Q1 and a projected value for complaints to be received in Q2 to Q4. As at the end of Q1, the projected number of complaints to be received in 2016 is 4580.

### Detailed Analysis of Complaints Received in the Division

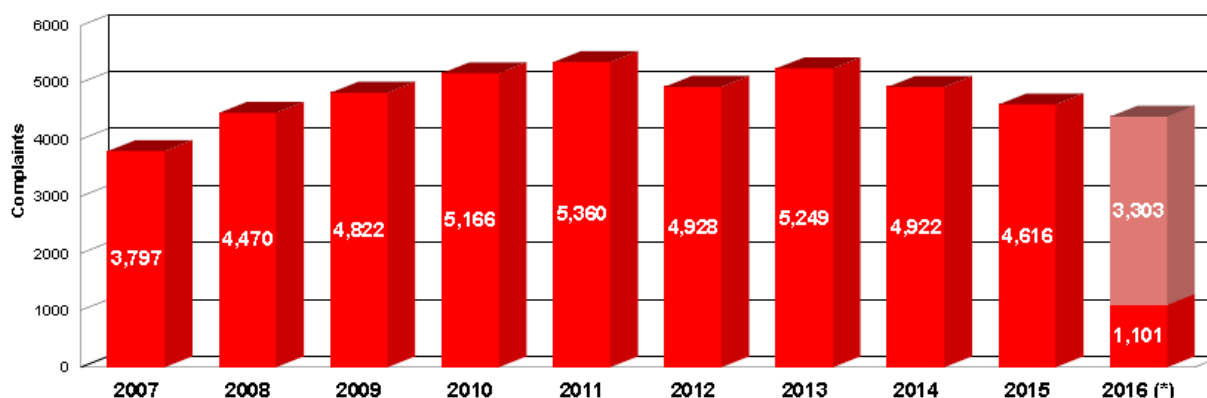
	2007	2008	2009	2010	2011	2012	2013	2014	2015	Q1 2016
<b>Complaints against Lawyers</b>	3481	3946	3891	3791	3920	3820	3896	3734	3646	932
<b>Lawyer Applicant Cases★</b>	44	48	70	86	92	99	115	115	106	5
<b>Complaints against Licensed Paralegals</b>	0	164	351	490	494	480	584	543	544	150
<b>Paralegal Applicant Cases★</b>	333	175	146	124	144	155	205	180	165	33
<b>Complaints against Non-Licensees/Non-Applicants*</b>	127	258	277	310	217	228	240	209	186	25
<b>TOTAL</b>	3985	4591	4735	4801	4867	4782	5040	4781	4647	1145

★ Applicant cases include good character cases and UAP complaints

\* For a complete analysis of UAP complaints see section 2.4.

<sup>1</sup> Includes all complaints received in PRD from Complaints Services.

**Graph 1B: Complaints Closed<sup>2</sup> in the Division**



For 2016, the graph displays the actual number of complaints closed in Q1 and a projected value for complaints to be closed in Q2 to Q4. As at the end of Q1, the projected number of complaints to be closed in 2016 is 4404.

**Detailed Analysis of Complaints Closed in the Division**

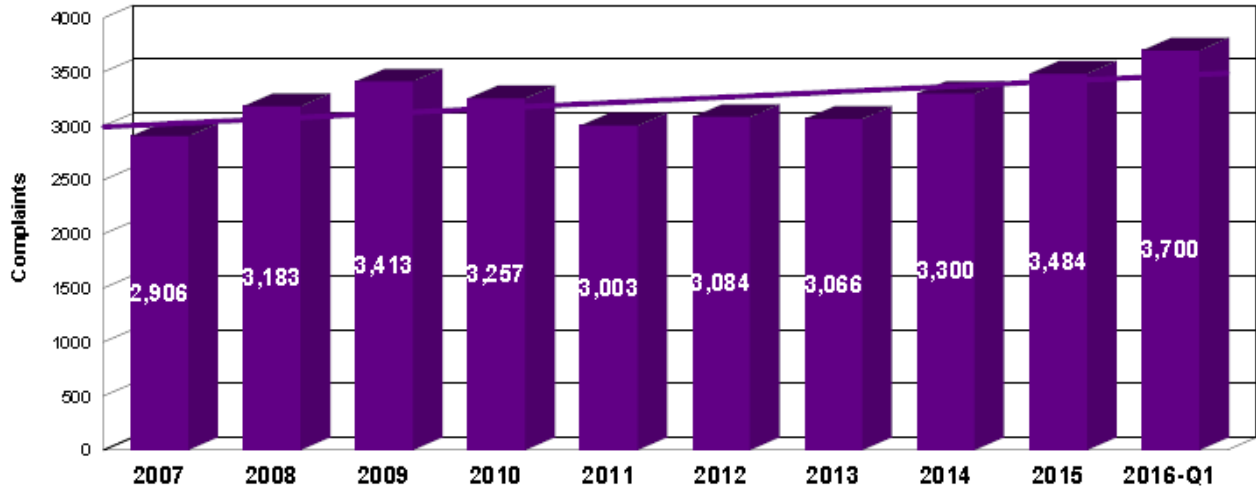
	2009	2010	2011	2012	2013	2014	2015	Q1 2016
<b>Complaints against Lawyers</b>	4107	4303	4312	3932	4174	3813	3650	904
<b>Lawyer Applicant Cases ★</b>	0	0	108	88	122	112	107	10
<b>Complaints against Licensed Paralegals</b>	459	536	536	486	487	570	494	104
<b>Paralegal Applicant Cases ★</b>	0	0	160	163	206	195	155	35
<b>Complaints against Non-Licensees/Non-Applicants*</b>	256	327	244	259	260	232	210	48
<b>TOTAL</b>	4822	5166	5360	4928	5249	4922	4616	1101

★ Applicant cases include good character cases and UAP complaints

\* For a complete analysis of UAP complaints see section 2.4.

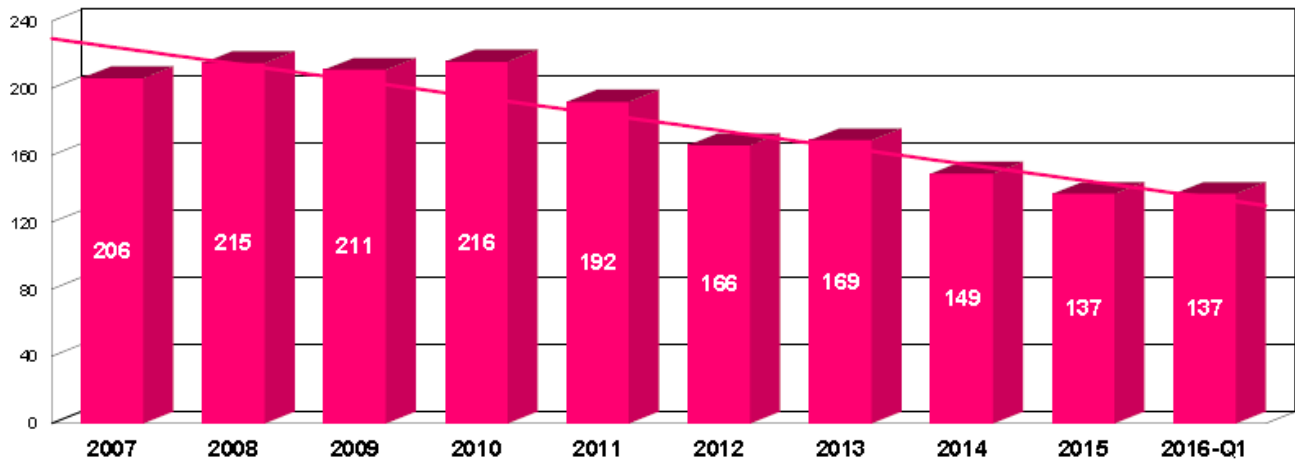
<sup>2</sup>This graph includes all complaints closed in Intake, Complaints Resolution, Investigations and Discipline.

**Graph1C: Total Inventory<sup>3</sup>**



2016: as at March 31, 2016

**Graph 1D: Median Age of Closed Complaints (days)<sup>3</sup>**



2016: as at March 31, 2016

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<sup>3</sup> These graphs do not include active complaints (enforcement matters) in the Monitoring & Enforcement Department.

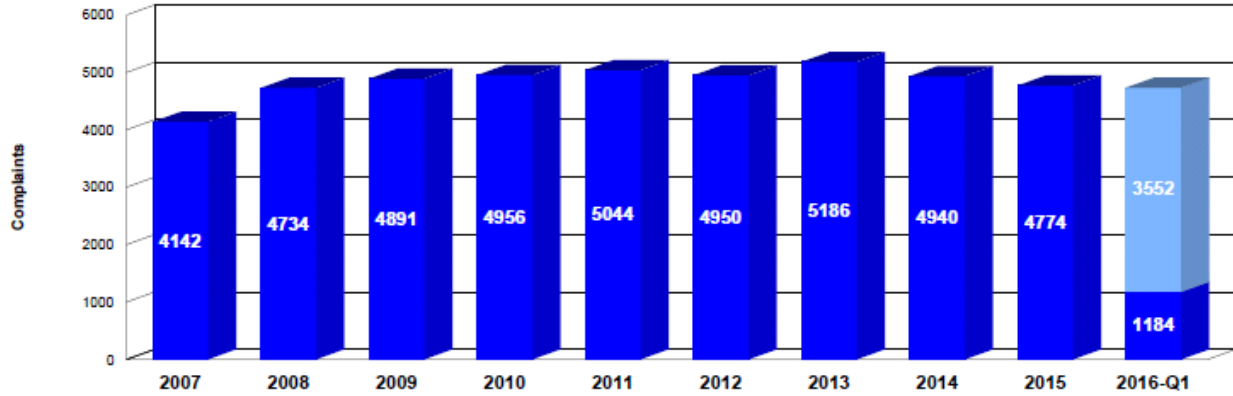


## **SECTION 2**

### **DEPARTMENTAL PERFORMANCE DURING THE QUARTER**

## 2.1 – Intake Department

Graph 2.1A: Input<sup>4</sup>



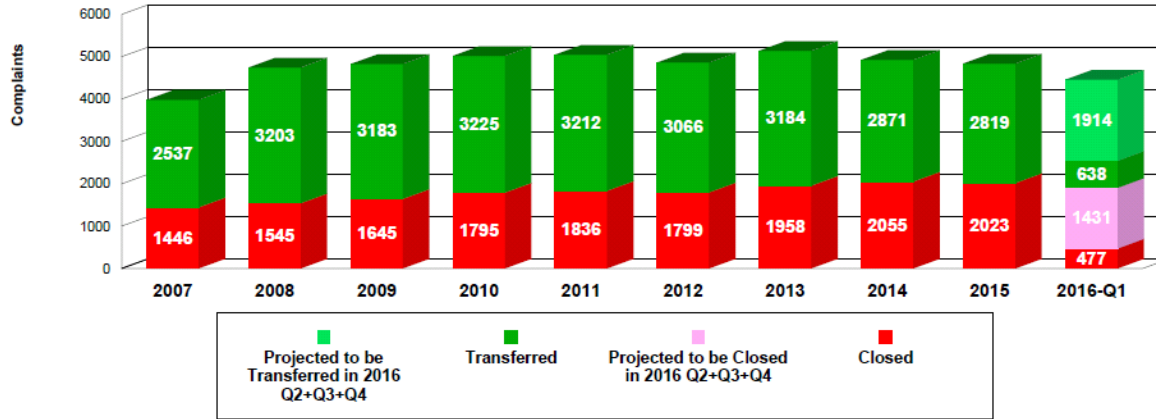
For 2016, the graph displays actual complaints received in Q1 (including reactivated complaints) and a projected value for complaints to be received in Q2 to Q4. As at the end of Q1, the projected number of complaints to be received (including reactivated) in 2016 is 4736.

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<sup>4</sup>Includes new complaints received and re-opened complaints

## 2.1 – Intake (cont'd)

**Graph 2.1B: Complaints Closed and Transferred Out**



For 2016, the graph displays the actual number of complaints closed and transferred in Q1 and a projected value for complaints to be closed and transferred in Q2 to Q4. As at the end of Q1, the projected number of complaints to be completed by Intake in 2016 is 4460 (1908 closed and 2552 transferred).

### Detailed Analysis of Complaints Closed and Transferred From Intake

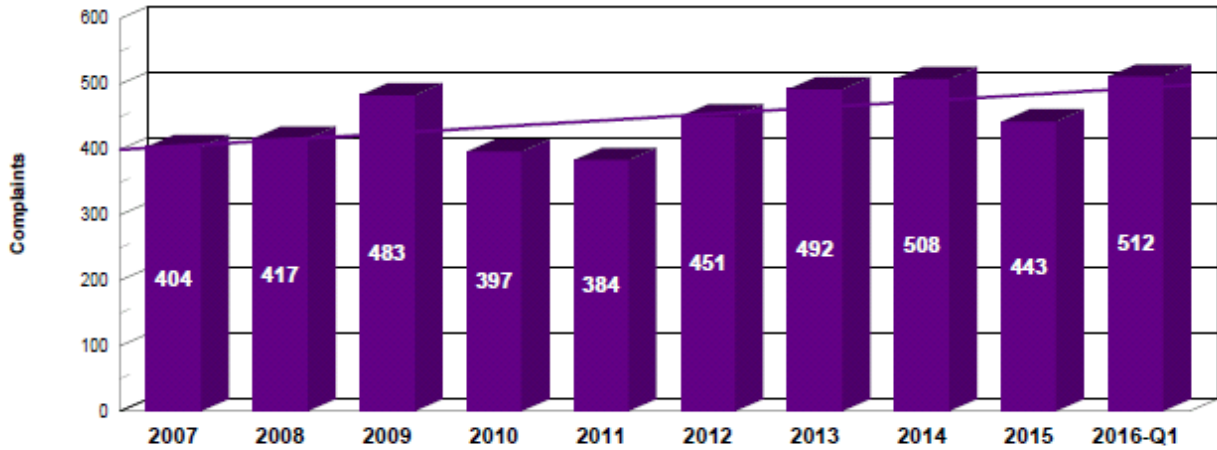
	2009	2010	2011	2012	2013	2014	2015	Q1 2016
<b>Complaints against Lawyers</b>	4023	3974	4062	3895	3991	3851	3807	917
<b>Lawyer Applicant Cases ★</b>	32	51	94	98	113	119	106	5
<b>Complaints against Licensed Paralegals</b>	427	555	508	483	568	556	550	128
<b>Paralegal Applicant Cases ★</b>	61	71	150	157	197	188	165	32
<b>Complaints against Non-Licensees/Non-Applicants*</b>	285	369	234	232	273	212	214	33
<b>TOTAL</b>	4828	5020	5048	4865	5142	4926	4842	1115

★ Applicant cases include good character cases and UAP complaints

\* For a complete analysis of UAP complaints see section 2.4.

## 2.1 – Intake (cont'd)

Graph 2.1 C: Department Inventory

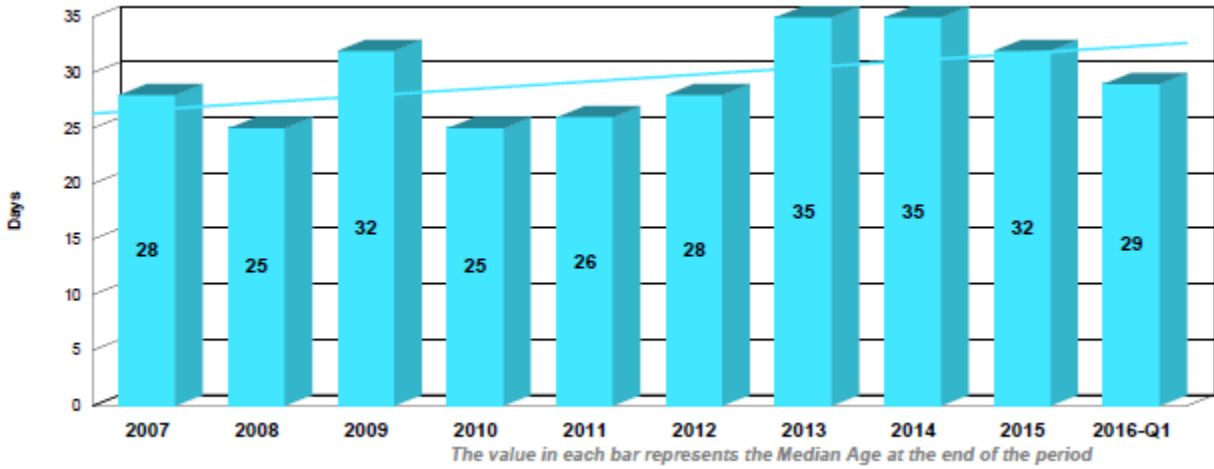


*The value in each bar represents the Inventory at the end of the period*

2016: as at March 31, 2016

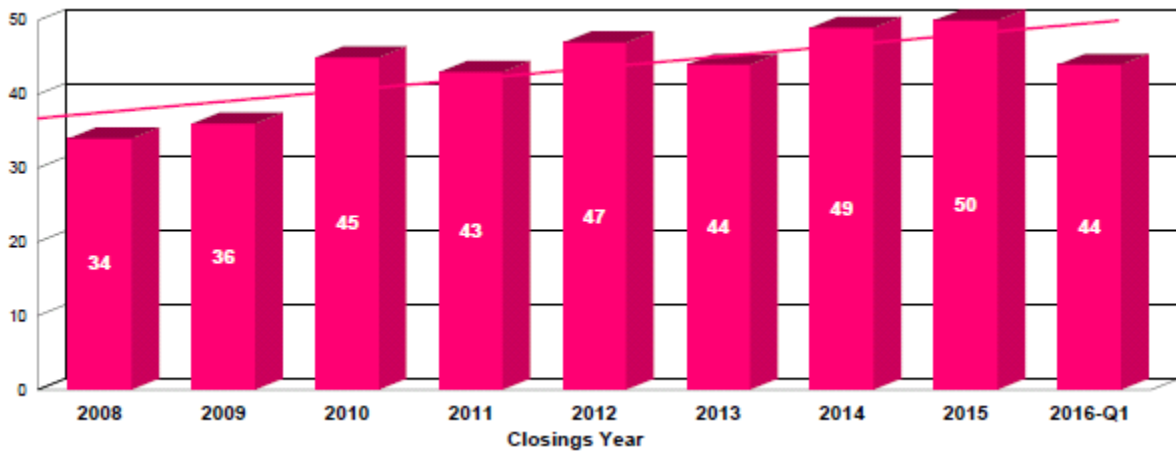
## 2.1 – Intake (cont'd)

**Graph 2.1D: Median Age of Active Complaints**



2016: as at March 31, 2016

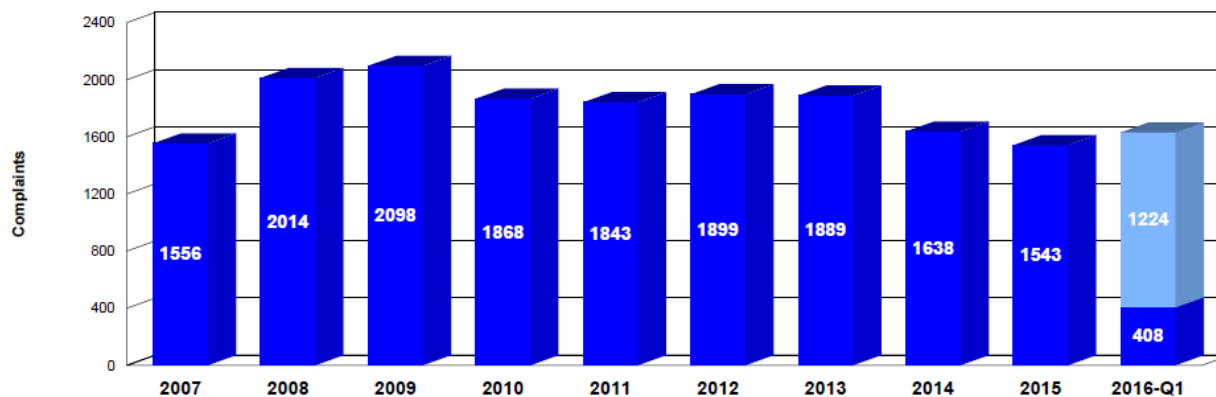
**Graph 2.1E: Median Age of Closed Complaints (days)**



2016: as at March 31, 2016

## 2.2 – Complaints Resolution Department

**Graph 2.2A: Input<sup>5</sup>**



For 2016, the graph displays actual complaints received in Q1 and a projected value for complaints to be received in Q2 to Q4. As at the end of Q1, the projected number of complaints to be received in Complaints Resolution in 2016 is 1632.

### Detailed Analysis of New and Re-opened Complaints in Complaints Resolution

	2007	2008	2009	2010	2011	2012	2013	2014	2015	Q1 2016
<b>Complaints against Lawyers</b>	1493	1901	1896	1693	1692	1736	1683	1426	1377	355
<b>Lawyer Applicant Cases ★</b>	8	0	1	0	0	0	0	0	0	0
<b>Complaints against Licensed Paralegals</b>	0	63	137	171	149	163	205	210	165	53
<b>Paralegal Applicant Cases ★</b>	6	5	2	0	0	0	0	0	0	0
<b>Complaints against Non-Licensees/Non-Applicants*</b>	49	45	62	4	2	0	1	2	1	0
<b>TOTAL</b>	1556	2014	2098	1868	1843	1899	1889	1638	1543	408

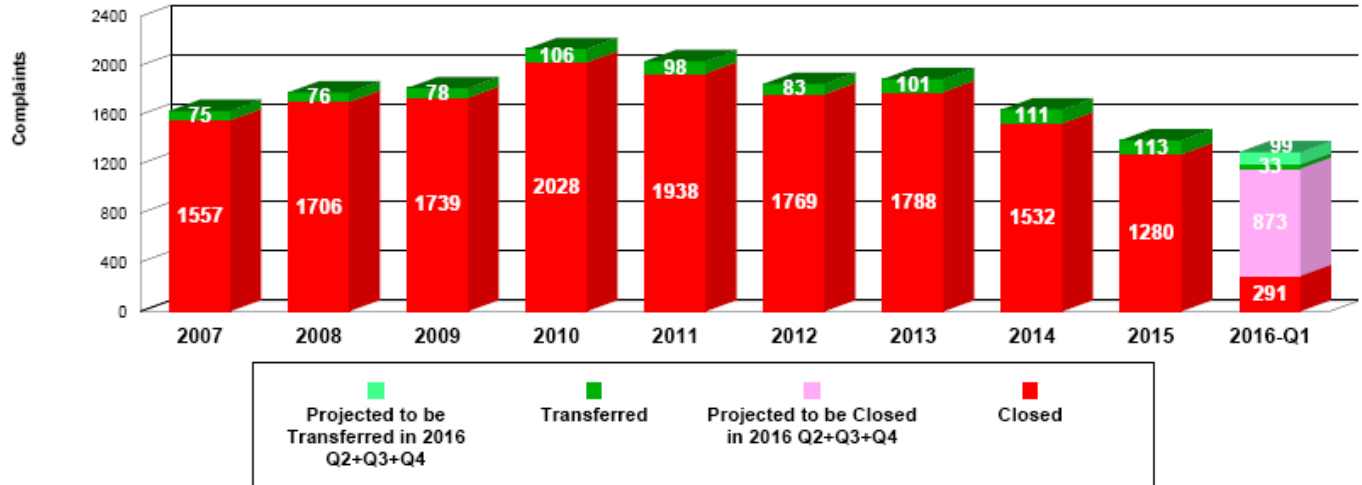
★ Applicant cases include good character cases and UAP complaints

\* For a complete analysis of UAP complaints see section 2.4.

<sup>5</sup>Includes new complaints received into the department as well as complaints re-opened during the Quarter.

## 2.2 – Complaints Resolution (cont'd)

**Graph 2.2B: Complaints Resolution - Complaints Closed and Transferred Out**



For 2016, the graph displays the actual number of complaints closed and transferred in Q1 and a projected value for complaints to be closed and transferred in Q2 to Q4. As at the end of Q1, the projected number of complaints to be completed by Complaints Resolution in 2016 is 1296 (1164 closed and 132 transferred).

### Detailed Analysis of Complaints Closed and Transferred From Complaints Resolution

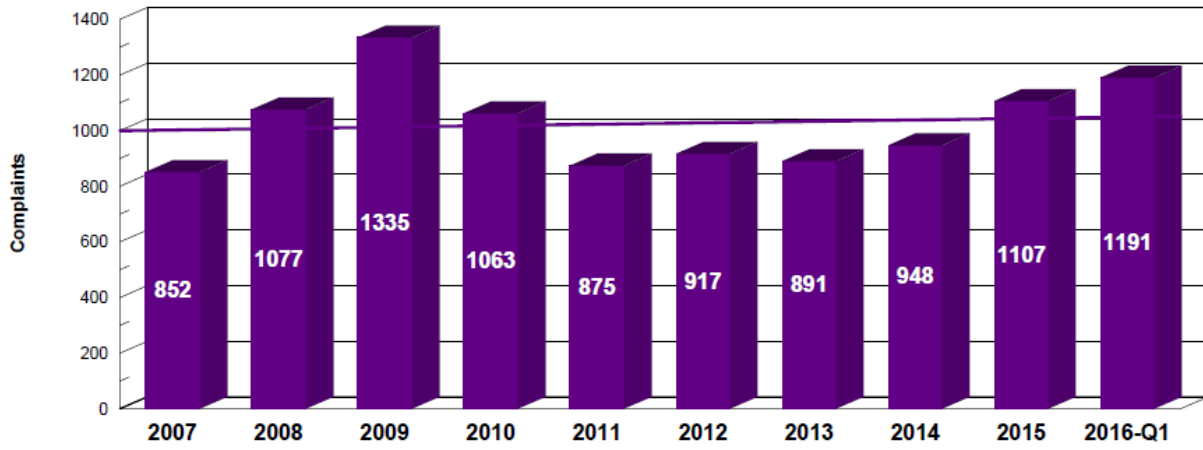
	2009	2010	2011	2012	2013	2014	2015	Q1 2016
<b>Complaints against Lawyers</b>	1684	1938	1864	1698	1709	1460	1214	293
<b>Lawyer Applicant Cases ★</b>	1	0	0	0	0	0	0	0
<b>Complaints against Licensed Paralegals</b>	91	162	179	154	179	183	178	31
<b>Paralegal Applicant Cases ★</b>	3	0	0	0	0	0	0	0
<b>Complaints against Non-Licensees/Non-Applicants*</b>	38	34	3	0	1	0	1	0
<b>TOTAL</b>	1817	2134	2036	1852	1889	1643	1393	324

★ Applicant cases include good character cases and UAP complaints

\* For a complete analysis of UAP complaints see section 2.4.

## 2.2 – Complaints Resolution (cont'd)

**Graph 2.2C: Department Inventory**



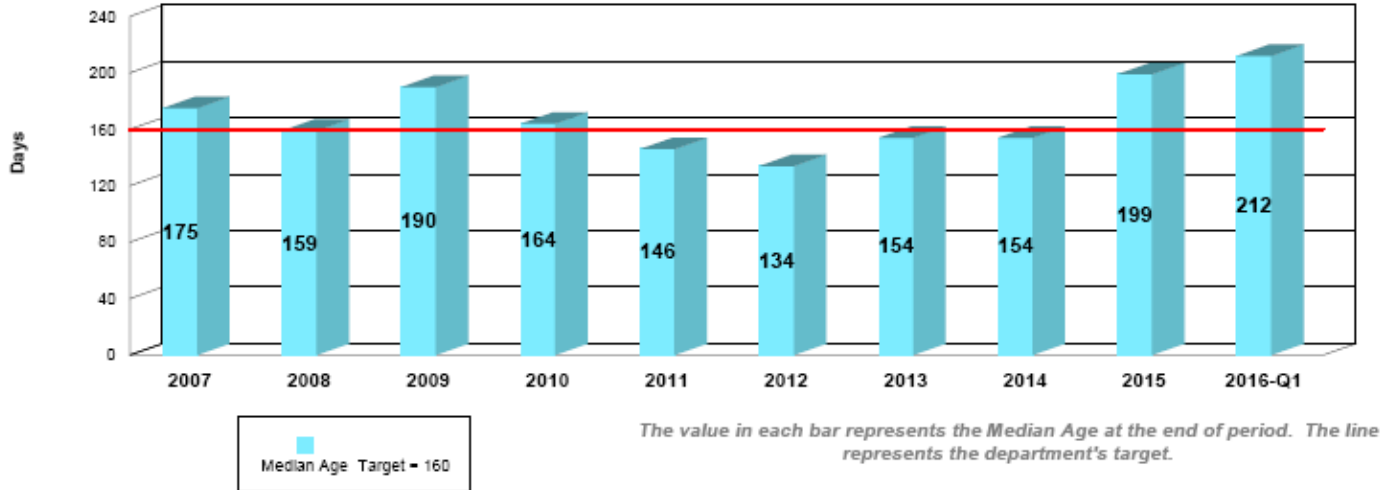
*The value in each bar represents the Inventory at the end of the period*

2016: as at March 31, 2016



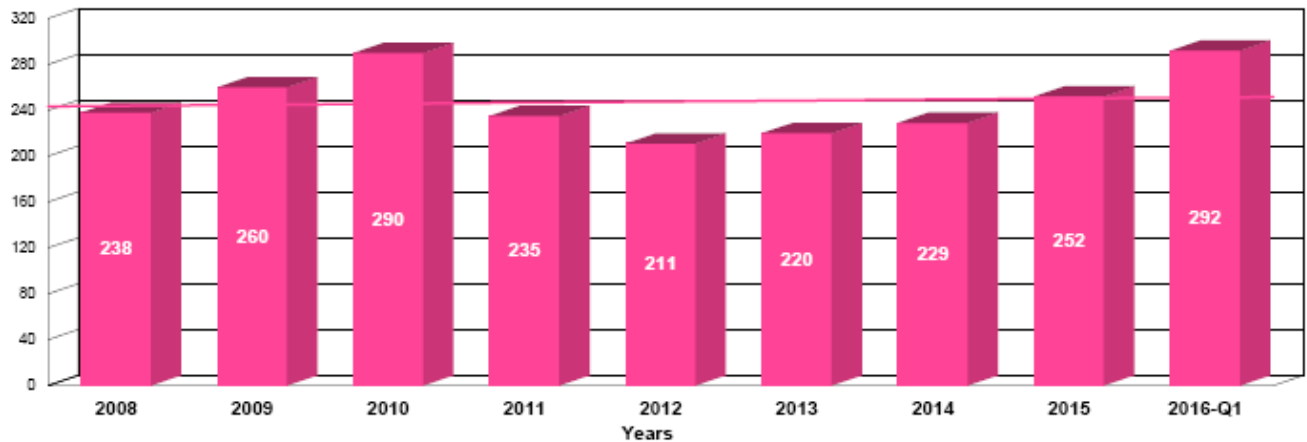
## 2.2 – Complaints Resolution (cont'd)

**Graph 2.2D: Median Age of Active Complaints**



2016: as at March 31, 2016

**Graph 2.2E: Median Age of Completed<sup>6</sup> Complaints**



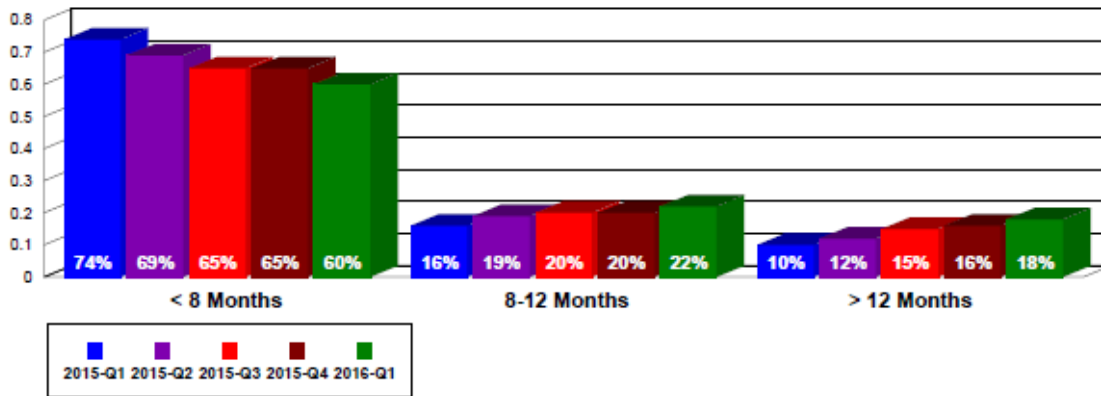
2016: as at March 31, 2016

<sup>6</sup> Included are complaints closed by Complaints Resolution or transferred by the department to Discipline.

## 2.2 – Complaints Resolution (cont'd)

Graph 2.2F: Aging of Complaints

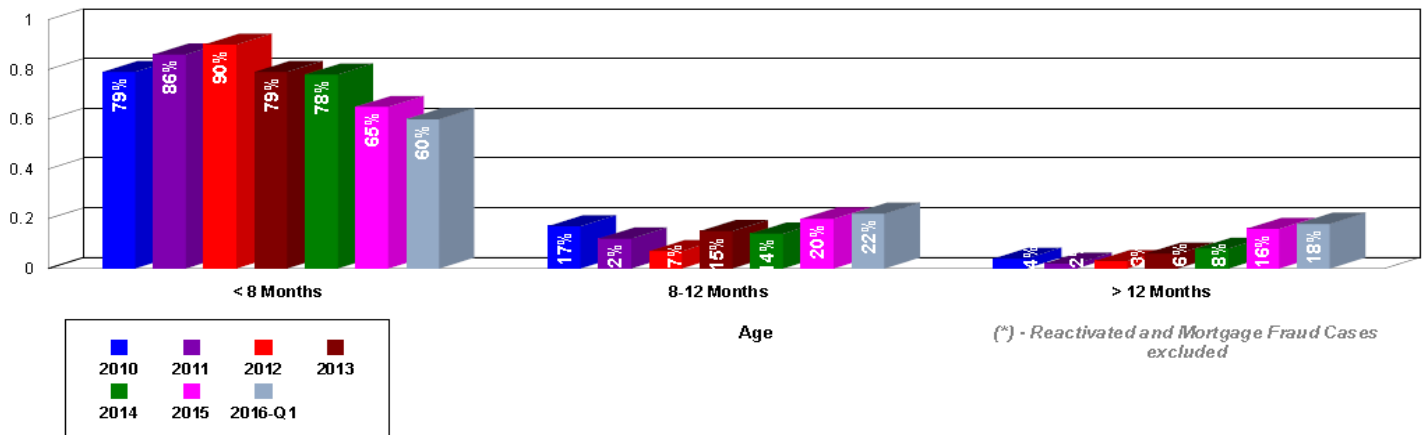
### a) By Quarters



(\*) - Reactivated Cases Excluded

	<8 months	8 to 12 months	>12 months
Q1 2015	679 cases involving 625 subjects	147 cases involving 137 subjects	94 cases involving 70 subjects
Q2 2015	627 cases involving 579 subjects	177 cases involving 168 subjects	107 cases involving 78 subjects
Q3 2015	638 cases involving 584 subjects	201 cases involving 190 subjects	144 cases involving 108 subjects
Q4 2015	667 cases involving 610 subjects	203 cases involving 191 subjects	160 cases involving 132 subjects
Q1 2016	672 cases involving 620 subjects	242 cases involving 224 subjects	197 cases involving 160 subjects

### b) By Years

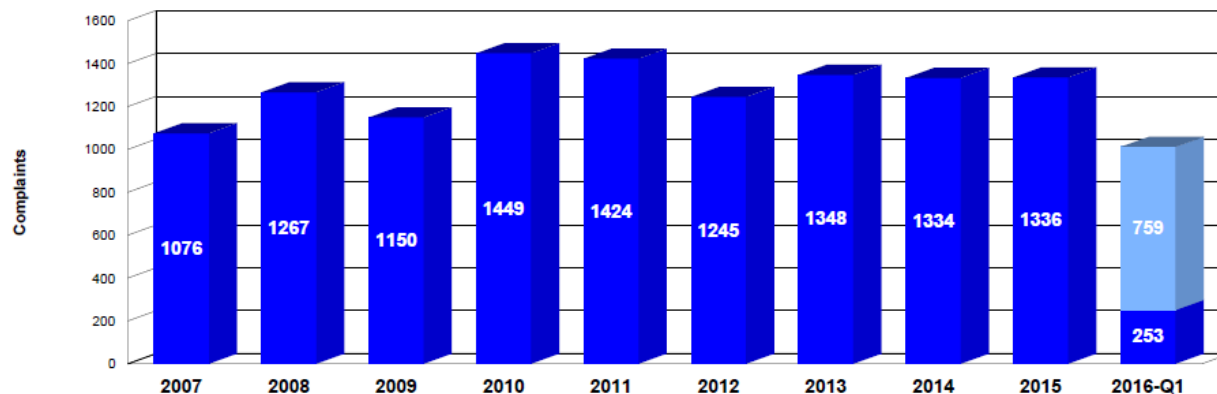


(\*) - Reactivated and Mortgage Fraud Cases excluded

	<8 months	8 to 12 months	>12 months
2010	766 cases involving 712 subjects	165 cases involving 130 subjects	39 cases involving 35 subjects
2011	676 cases involving 614 subjects	93 cases involving 82 subjects	19 cases involving 16 subjects
2012	765 cases involving 679 subjects	55 cases involving 48 subjects	29 cases involving 19 subjects
2013	658 cases involving 600 subjects	124 cases involving 119 subjects	51 cases involving 43 subjects
2014	673 cases involving 620 subjects	120 cases involving 112 subjects	73 cases involving 60 subjects
2015	667 cases involving 610 subjects	203 cases involving 191 subjects	160 cases involving 132 subjects
Q1 2016	672 cases involving 620 subjects	242 cases involving 224 subjects	197 cases involving 160 subjects

## 2.3 –Investigations Department

**Graph 2.3A: Input**



For 2016, the graph displays actual complaints received in Q1 and a projected value for complaints to be received in Investigations in Q2 to Q4. As at the end of Q1, the projected number of complaints to be received in the department in 2016 is 1012.

### Detailed Analysis of New and Re-opened Complaints Received in Investigations

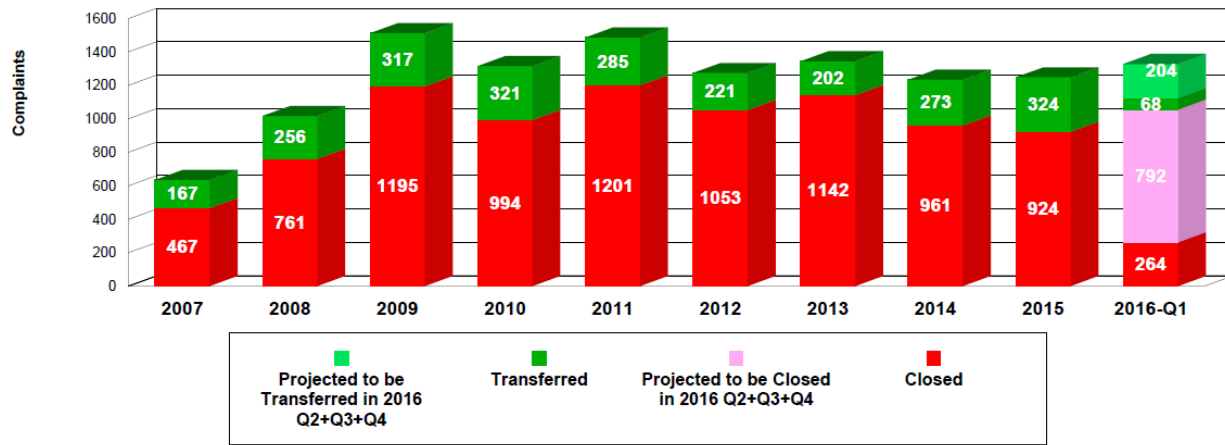
	2007	2008	2009	2010	2011	2012	2013	2014	2015	Q1 2016
<b>Complaints against Lawyers</b>	818	893	810	935	930	798	821	927	879	178
<b>Lawyer Applicant Cases ★</b>	30	27	39	0	34	37	47	28	28	3
<b>Complaints against Licensed Paralegals</b>	0	29	87	288	237	190	230	192	252	48
<b>Paralegal Applicant Cases ★</b>	174	196	125	0	66	77	85	53	55	10
<b>Complaints against Non-Licensees/Non-Applicants*</b>	54	122	89	226	155	141	163	134	122	14
<b>TOTAL</b>	1076	1267	1150	1449	1422	1243	1346	1334	1336	253

★Applicant cases include good character cases and UAP complaints

\* For a complete analysis of UAP complaints see section 2.4.

## 2.3 –Investigations (cont'd)

**Graph 2.3B Complaints Closed and Transferred Out**



For 2016, the graph displays the actual number of complaints closed and transferred in Q1 and a projected value for complaints to be closed and transferred in Q2 to Q4. As at the end of Q1, the projected number of complaints to be completed by Investigations in 2016 is 1328 (1056 closed and 272 transferred).

### Detailed Analysis of Complaints Closed and Transferred Out of Investigations

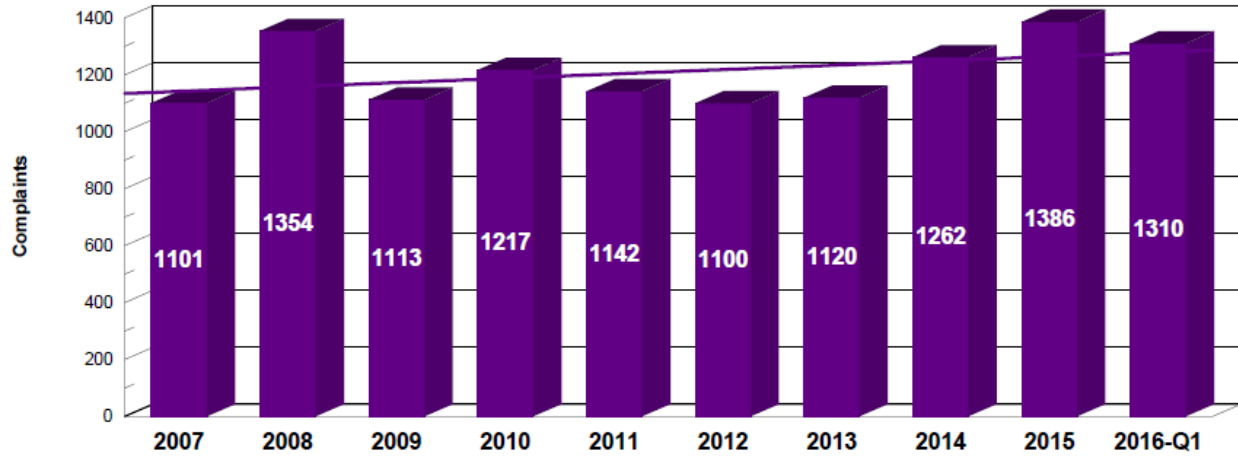
	2009	2010	2011	2012	2013	2014	2015	Q1 2016
<b>Complaints against Lawyers</b>	1083	930	1012	815	875	808	832	243
<b>Lawyer Applicant Cases ★</b>	38	22	40	27	52	20	30	10
<b>Complaints against Licensed Paralegals</b>	139	136	219	206	175	195	240	36
<b>Paralegal Applicant Cases ★</b>	174	51	60	69	96	48	43	13
<b>Complaints against Non-Licensees/Non-Applicants*</b>	78	176	155	157	147	164	104	30
<b>TOTAL</b>	1512	1315	1486	1274	1344	1235	1248	332

★ Applicant cases include good character cases and UAP complaints

\* For a complete analysis of UAP complaints see section 2.4.

## 2.3 – Investigations (cont'd)

**Graph 2.3C: Department Inventory**

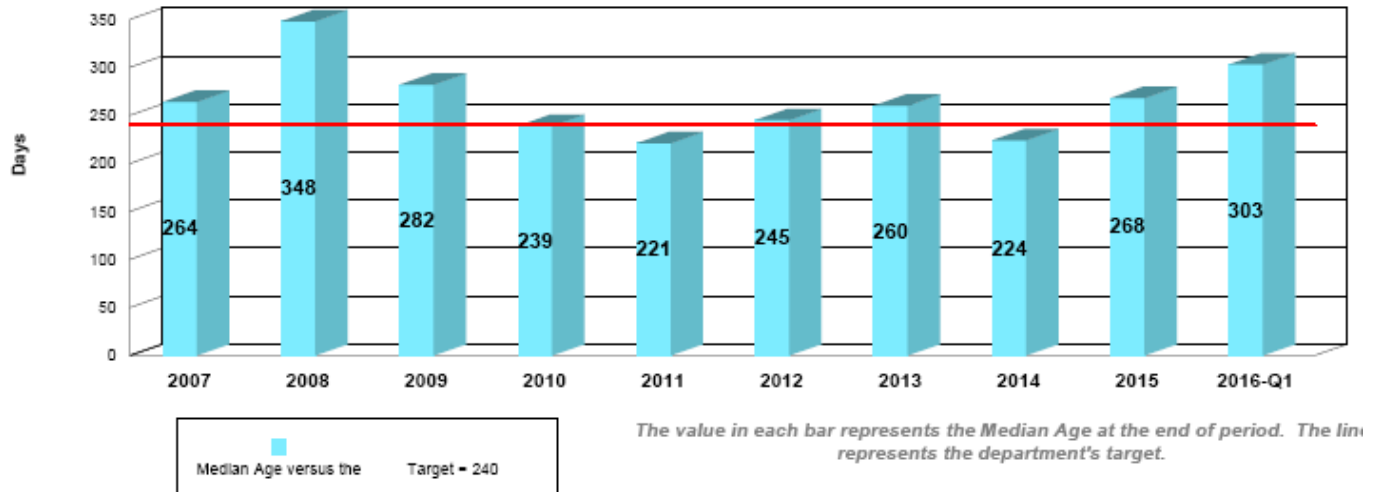


*The value in each bar represents the Inventory at the end of the period*

2016: as at March 31, 2016

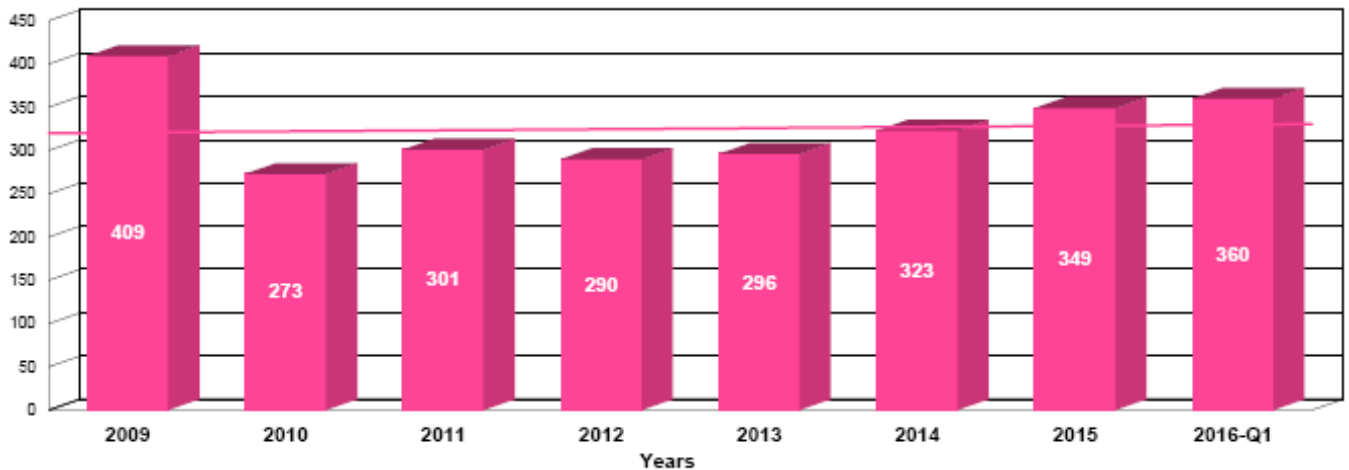
## 2.3 – Investigations (cont'd)

**Graph 2.3D: Median Age of Active Complaints**



2016: as at March 31, 2016

**Graph 2.3E: Median Age of Completed<sup>7</sup> Complaints**



2016: as at March 31, 2016

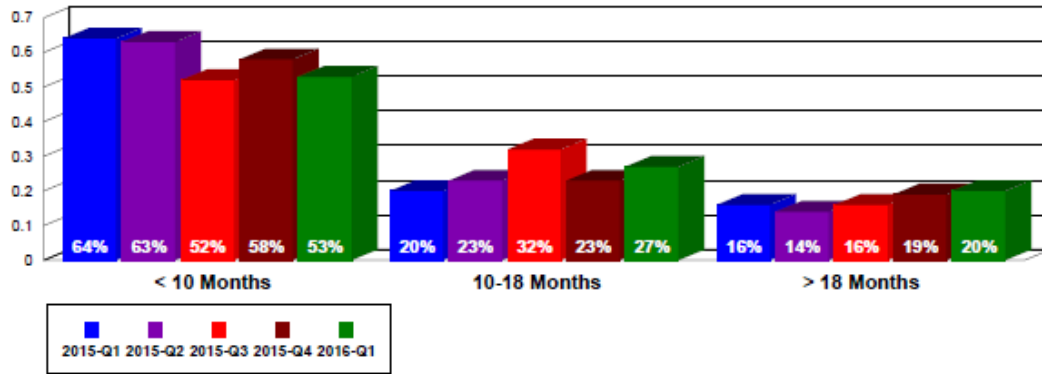
<sup>7</sup> Included are complaints closed by Investigations or transferred by the department to Discipline.

## 2.3 – Investigations (cont'd)

Graph 2.3F: Aging of Complaints

### a) Core Cases

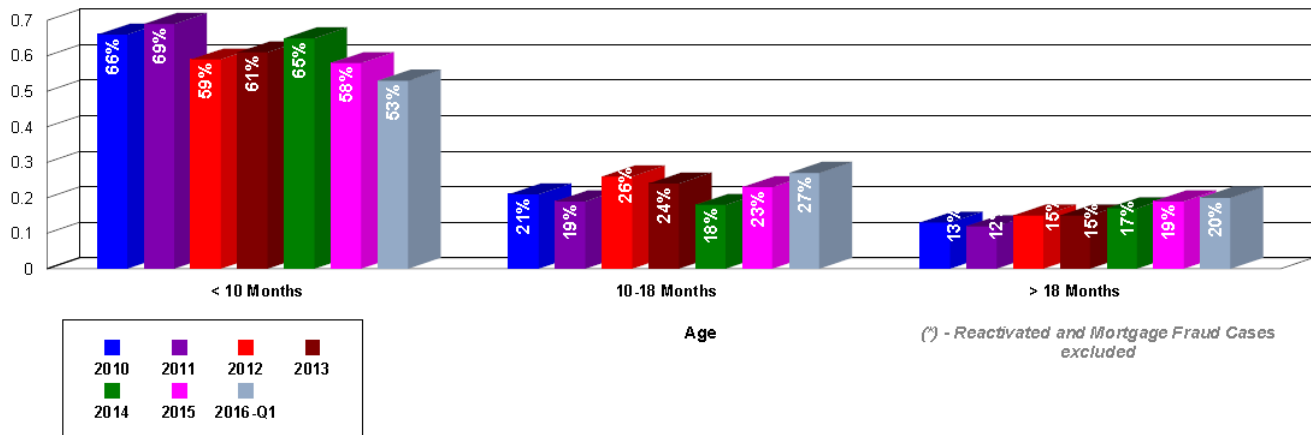
#### (i) By Quarter



(\*) - Reactivated Cases Excluded

	<10 months	10 to 18 months	>18 months
<b>Q1 2015</b>	740 cases involving 476 subjects	226 cases involving 186 subjects	185 cases involving 125 subjects
<b>Q2 2015</b>	787 cases involving 548 subjects	284 cases involving 190 subjects	183 cases involving 121 subjects
<b>Q3 2015</b>	676 cases involving 539 subjects	408 cases involving 211 subjects	205 cases involving 124 subjects
<b>Q4 2015</b>	695 cases involving 543 subjects	282 cases involving 222 subjects	230 cases involving 148 subjects
<b>Q1 2016</b>	612 cases involving 458 subjects	312 cases involving 251 subjects	236 cases involving 155 subjects

#### (ii) By Year



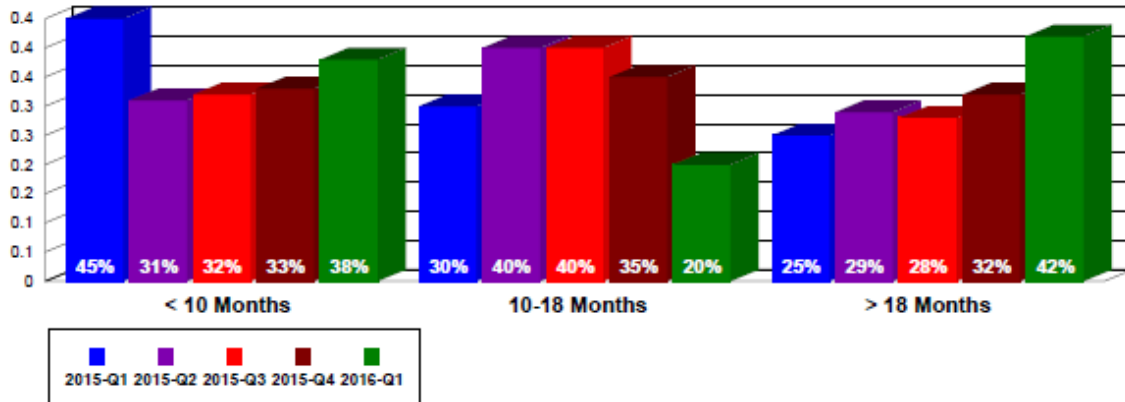
(\*) - Reactivated and Mortgage Fraud Cases excluded

	<10 months	10 to 18 months	>18 months
<b>2010</b>	659 cases involving 526 subjects	210 cases involving 151 subjects	130 cases involving 96 subjects
<b>2011</b>	669 cases involving 529 subjects	181 cases involving 145 subjects	113 cases involving 87 subjects
<b>2012</b>	550 cases involving 457 subjects	245 cases involving 208 subjects	142 cases involving 113 subjects
<b>2013</b>	591 cases involving 451 subjects	228 cases involving 177 subjects	147 cases involving 109 subjects
<b>2014</b>	693 cases involving 451 subjects	193 cases involving 152 subjects	181 cases involving 191 subjects
<b>2015</b>	695 cases involving 543 subjects	282 cases involving 222 subjects	230 cases involving 148 subjects
<b>Q1 2016</b>	612 cases involving 458 subjects	312 cases involving 251 subjects	236 cases involving 155 subjects

## 2.3 – Investigations (cont'd)

### b) Mortgage Fraud Cases

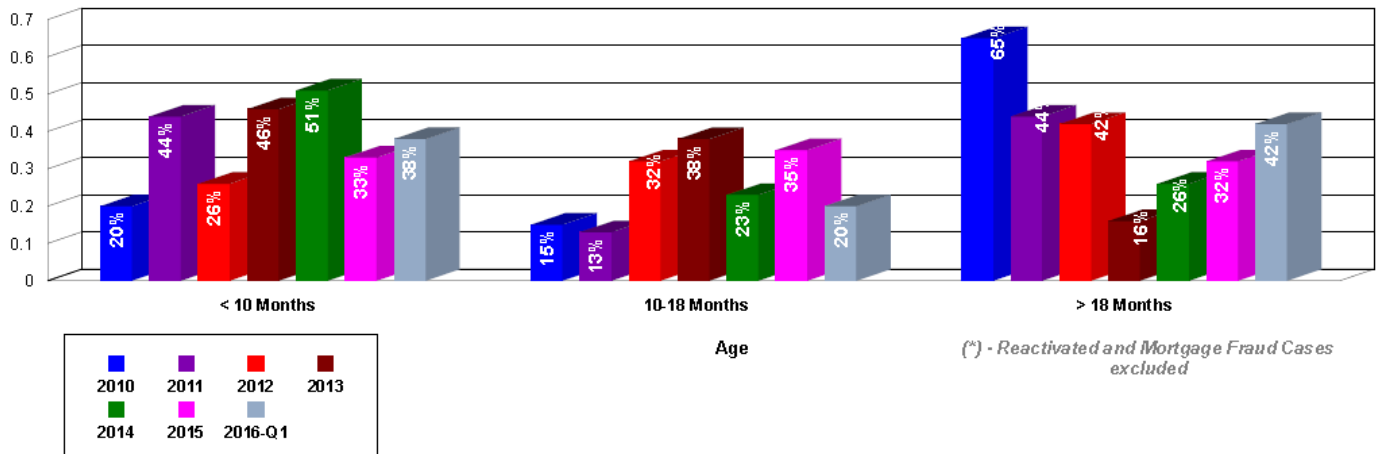
#### (i) By Quarter



(\*) - Reactivated Cases Excluded

	<10 months	10 to 18 months	>18 months
<b>Q1 2015</b>	46 cases involving 32 subjects	31 cases involving 28 subjects	26 cases involving 23 subjects
<b>Q2 2015</b>	30 cases involving 25 subjects	39 cases involving 31 subjects	28 cases involving 25 subjects
<b>Q3 2015</b>	29 cases involving 28 subjects	36 cases involving 22 subjects	26 cases involving 23 subjects
<b>Q4 2015</b>	30 cases involving 22 subjects	32 cases involving 19 subjects	29 cases involving 25 subjects
<b>Q1 2016</b>	26 cases involving 22 subjects	14 cases involving 13 subjects	23 cases involving 19 subjects

#### (ii) By Year



(\*) - Reactivated and Mortgage Fraud Cases excluded

	<10 months	10 to 18 months	>18 months
<b>2010</b>	19 cases involving 15 subjects	14 cases involving 11 subjects	61 cases involving 49 subjects
<b>2011</b>	42 cases involving 31 subjects	13 cases involving 9 subjects	41 cases involving 30 subjects
<b>2012</b>	14 cases involving 10 subjects	17 cases involving 16 subjects	21 cases involving 17 subjects
<b>2013</b>	35 cases involving 28 subjects	29 cases involving 19 subjects	26 cases involving 21 subjects
<b>2014</b>	57 cases involving 41 subjects	26 cases involving 21 subjects	29 cases involving 26 subjects
<b>2015</b>	30 cases involving 22 subjects	32 cases involving 19 subjects	29 cases involving 25 subjects
<b>Q1 2016</b>	26 cases involving 22 subjects	14 cases involving 13 subjects	23 cases involving 19 subjects



## 2.4 – Unauthorized Practice (UAP)

**Graph 2.4A: Unauthorized Practice Complaints in Intake**

Quarter	New	Closed/Transferred			Inventory at Year End
		Closed	Transfer to CR	Transfer to Investigations	
2010	330	151	1	249	18
2011	255	87	2	206	15
2012	256	86	0	182	19
2013	260	102	0	197	11
2014	223	77	0	154	21
2015	196	79	0	151	6
Q1 2016	29	16	0	22	3

**Graph 2.4B: Unauthorized Practice investigations (in Complaints Resolution and Investigations)**

	New		Closed <sup>8</sup>		Inventory	
	CR	INV	CR	INV	CR	INV
2010	1	249	28	190	124	
2011	2	206	0	188	140	
2012	0	182	1	185	131	
2013	0	197	0	187	137	
2014	0	154	0	206	90	
2015	0	151	0	129	112	
Q1 2016	0	22	0	35	98	

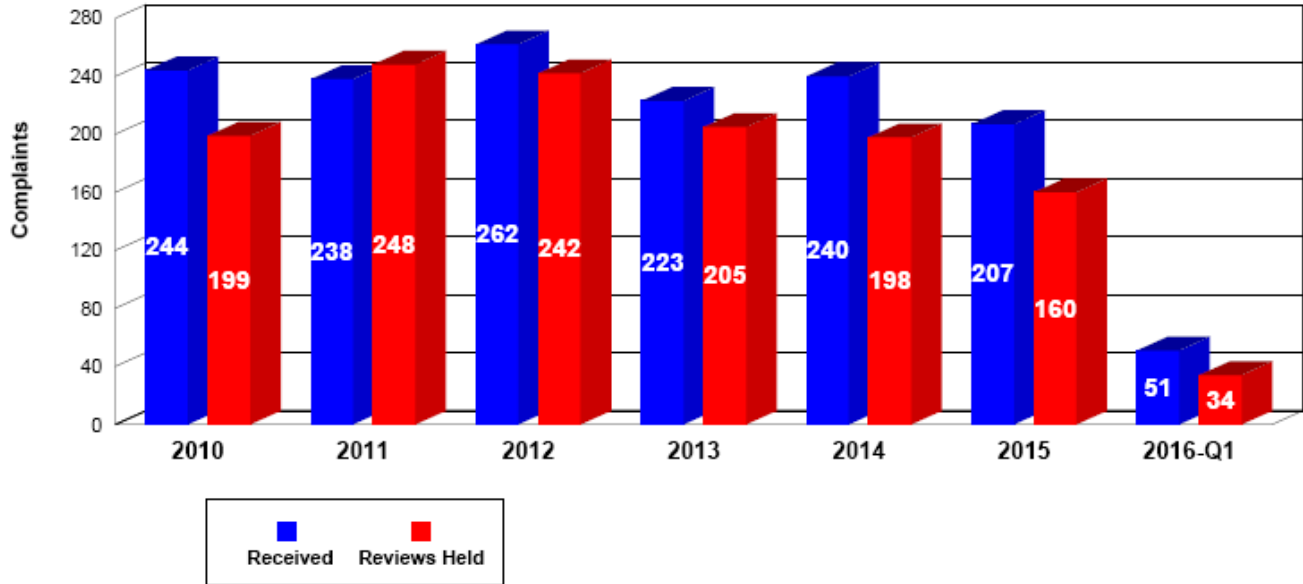
**Graph 2.4D: UAP Enforcement Actions**

There were no new UAP enforcement matters commenced in Q1 2016. As at March 31, 2016, there were 5 active UAP matters.

<sup>8</sup>“Closed” refers to completed investigations and therefore consists of both those investigations that were closed by the Law Society and those that were referred for prosecution/injunctive relief.

## 2.5 – Complaints Resolution Commissioner

**Graph 2.5A: Reviews Requested and Files Reviewed (by Quarter)**



**Graph 2.5B: Decisions Rendered, by Year**

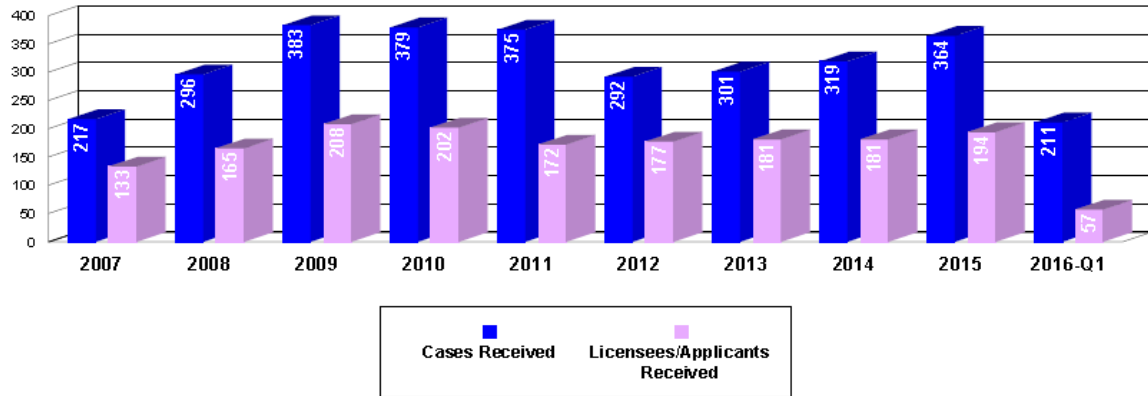
Year	Decisions Rendered	Files to Remain Closed	Files Referred Back to PRD
2009	194	174 (90%)	20 (10%)
2010	193	160 (83%)	33 (17%)
2011	260	248 (95%)	12 (5%)
2012	242	224 (93%)	18 (7%)
2013	205	192(94%)	13(6%)
2014	167	160 (96%)	7 (4%)
2015	161	150 (93%)	11 (7%)
Q1 2016	47	45 (96%)	2 (4%)

Of the 47 decisions rendered in Q1 2016, the Commissioner referred 2 files back to Professional Regulation with a recommendation for further investigation. In one file, the Commissioner was not satisfied that the decision to close was reasonable. In the other file, the Commissioner felt that the decision to close was reasonable but referred the matter back for further investigation based on submissions made by the Complainant at the review meeting.

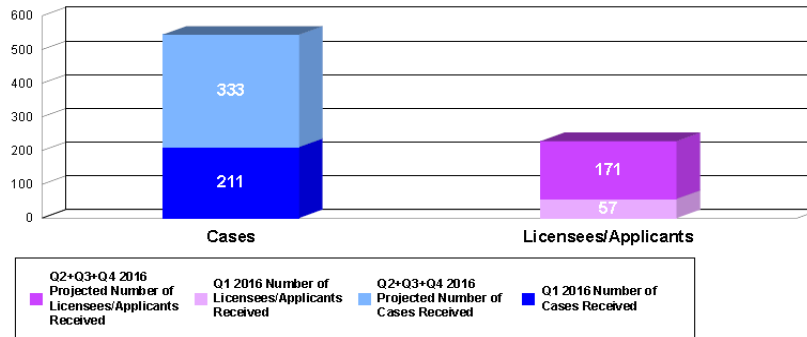
With respect to the 2 cases referred back, the Executive Director of Professional Regulation, as at March 31, 2016: adopted the recommendation in 1 case; had not rendered a decision with respect to the other case.

## 2.6 – Discipline Department

Graph 2.6A: Input<sup>9</sup>



For 2016, the above graph displays the number of cases and licensees/applicants received in Q1. The graph below displays projected numbers of cases and licensee/applicants to be received in Discipline in Q2 to Q4. As at the end of Q1, the projected number of cases to be received in the department in 2016 is 544 and the projected number of licensees/applicants to be received in the department in 2016 is 228.



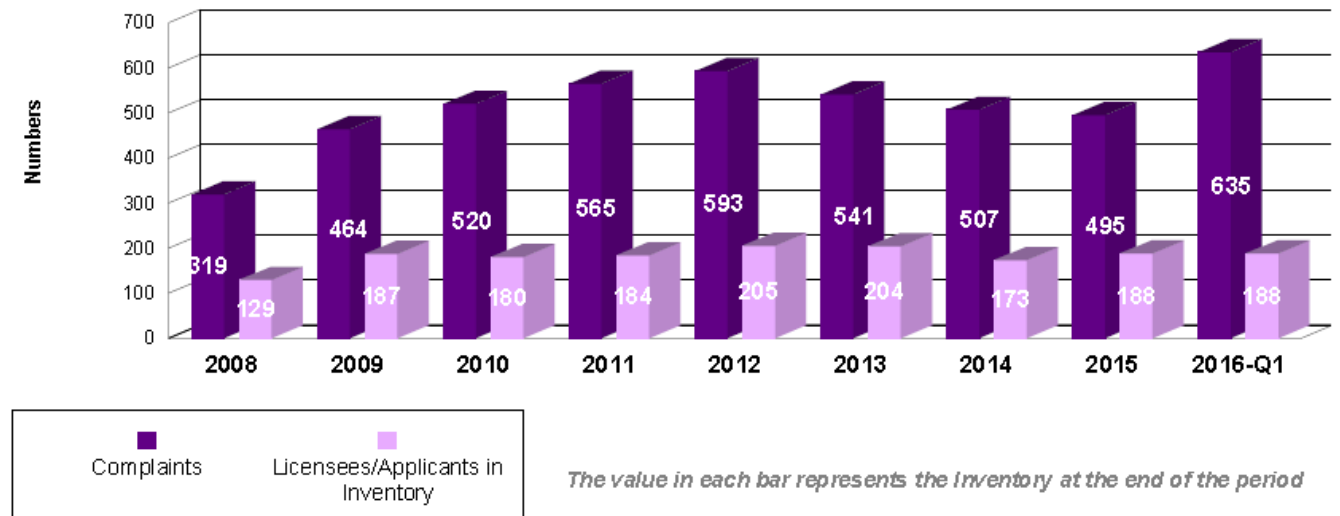
### Detailed Analysis of New Cases Received in Discipline

		2007	2008	2009	2010	2011	2012	2013	2014	2015	Q1 2016
<b>Lawyers</b>	Cases	200	252	248	304	317	226	238	267	242	188
	Lawyers	117	129	139	162	137	143	135	150	132	47
<b>Lawyer Applicants</b>	Cases	17	11	4	0	5	4	1	1	3	2
	Applicants	16	6	6	1	3	4	1	1	3	1
<b>Licensed Paralegals</b>	Cases	0	0	123	74	35	56	49	46	108	14
	Paralegals	0	0	7	25	25	26	37	25	52	6
<b>Paralegal Applicants</b>	Cases	0	33	8	1	18	6	13	5	11	7
	Applicants	0	30	56	14	7	4	8	5	7	3
<b>TOTAL</b>	Cases	217	296	383	379	375	292	301	319	364	211
	All Subjects	133	165	208	202	172	177	181	181	194	57

<sup>9</sup>“Input” refers to complaints that were transferred into Discipline from various other departments during the specific quarter. It includes new complaints/cases received in Discipline and the lawyers/applicants to which the new complaints relate. New appeals commenced in the period are not included in these numbers.

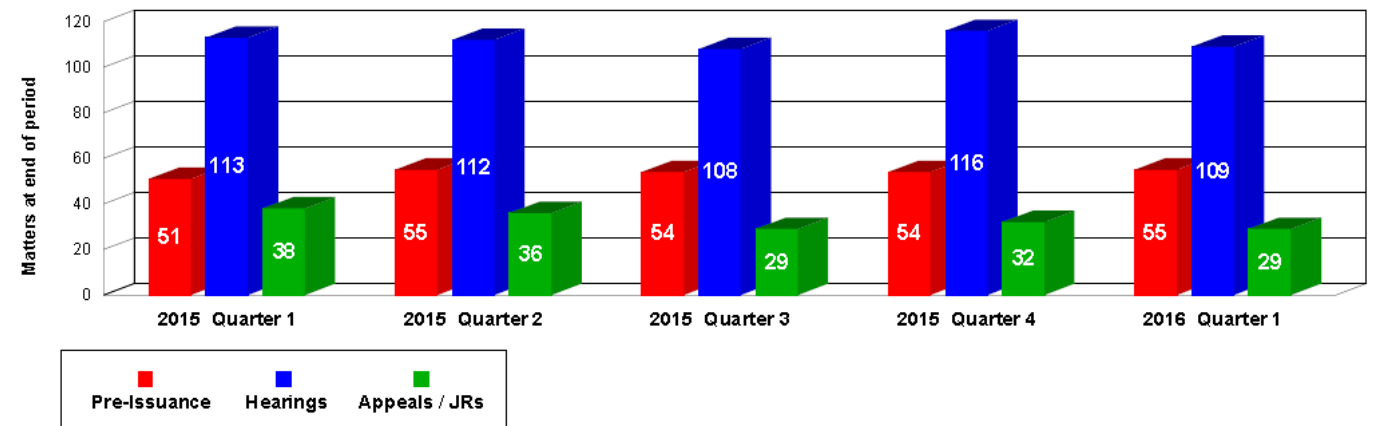
## 2.6 – Discipline (cont'd)

**Graph 2.6B: Department Inventory<sup>10</sup>**



2016: as at March 31, 2016

**Graph 2.6C: Inventory of Discipline Matters<sup>11</sup>**

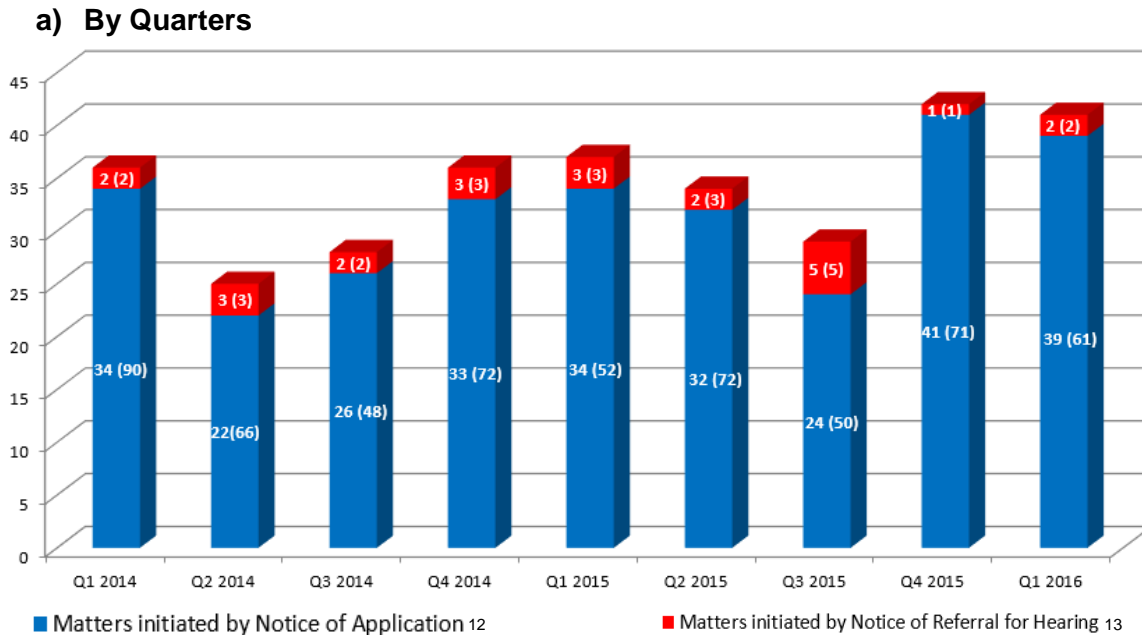


<sup>10</sup> Consists primarily of complaints and lawyers/applicants that are in scheduling and are with the Hearing Panel or on appeal.

<sup>11</sup> A licensee may have more than one matter ongoing at a time (e.g. a licensee may have an ongoing hearing before the Hearing Division and a judicial review in Divisional Court).

## 2.6 – Discipline (cont'd)

**Graph 2.6D: Notices Issued in the Hearing Division**



The numbers in each bar indicate the number of notices issued and, in brackets, the number of cases relating to those notices. One notice may relate to more than one case. For example, in Q1 2016, 39 Notices of Application were issued (relating to 61 cases) and 2 Notices of Referral for Hearing were issued (relating to 2 cases).

The National Discipline Standards require that 75% of Notices be issued within 60 days of authorization and 95% of Notices be issued within 90 days of authorization. In Q1, 2016, with respect to the 39 Notices of Application<sup>14</sup>/Notices of Motion for Interim Suspension Order and 1 Notice of Referral for Hearing (licensing matters) which were issued<sup>15</sup>:

- 87.5% were issued within 60 days of PAC Authorization;
- 95% were issued within 90 days of PAC Authorization.

<sup>12</sup> Matters which are initiated by Notice of Application include conduct, capacity, non-compliance and competency matters. Also included in this category are interlocutory suspension/restriction motions

<sup>13</sup> Matters which are initiated by Notice of Referral for Hearing (formerly Notice of Hearing) include licensing (including readmission matters), reinstatement and restoration matters

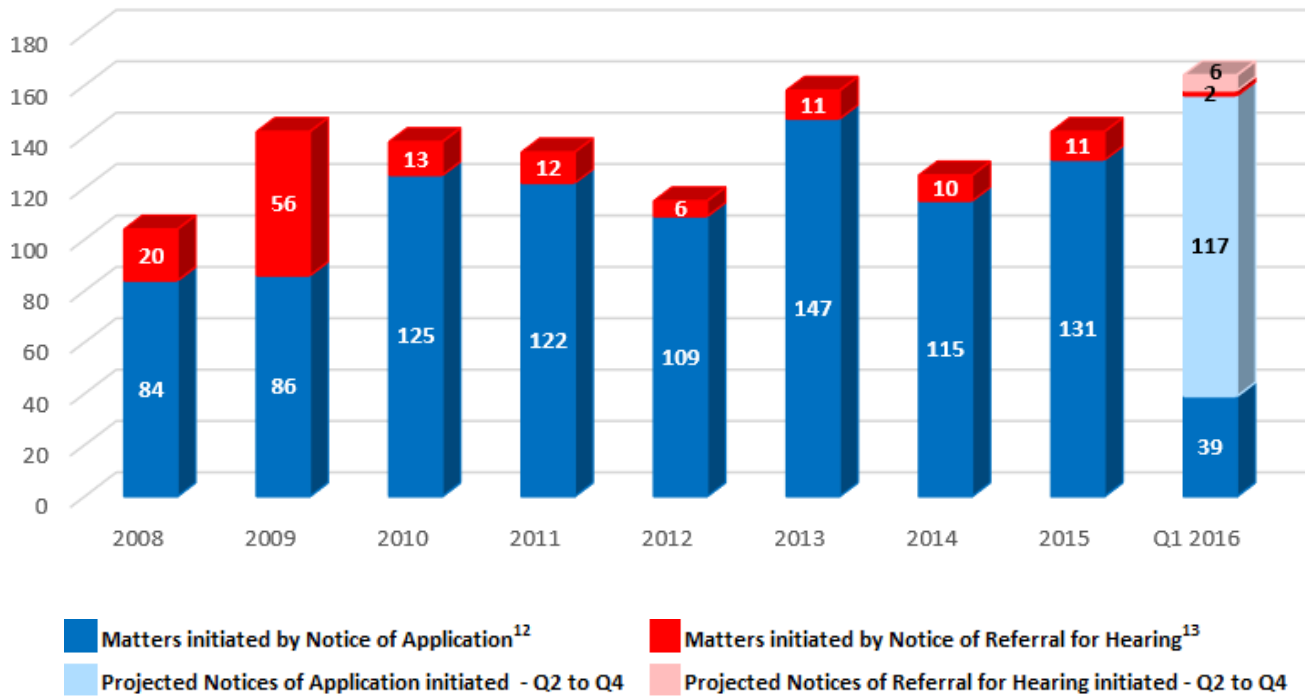
<sup>14</sup> Notices of Application are issued with respect to conduct, competency, capacity and non-compliance matters and require authorization by the Proceedings Authorization Committee (PAC).

<sup>15</sup> The other Notice of Referral for Hearing was issued in relation to a reinstatement matter which does not require PAC authorization.

## 2.6 – Discipline (cont'd)

### b) By Years

	2008	2009	2010	2011	2012	2013	2014	2015	Q1 2016
Notices of Application issued	84	86	125	122	109	147	115	131	39
Notices of Application	79	79	117	118	104	142	101	117	34
Interlocutory Suspension/Restriction motions	5	7	8	4	3	5	14	14	5
Notices of Referral for Hearing issued	20	56	13	12	6	11	10	11	2
<b>Total Notices Issued</b>	<b>104</b>	<b>142</b>	<b>138</b>	<b>134</b>	<b>115</b>	<b>158</b>	<b>125</b>	<b>142</b>	<b>41</b>



For 2016, the graph displays the actual number of Notices of Application and Notices of Referral for Hearing issued in Q1 and a projected value for Notices to be issued in Q2 to Q4. As at the end of Q1, the projected number of all Notices to be issued in 2016 is 164 (156 Notices of Application and 8 Notices of Referral for Hearing).

## 2.6 – Discipline (cont'd)

**Graph 2.6E: Discipline – Completed Matters in the Hearing Division**

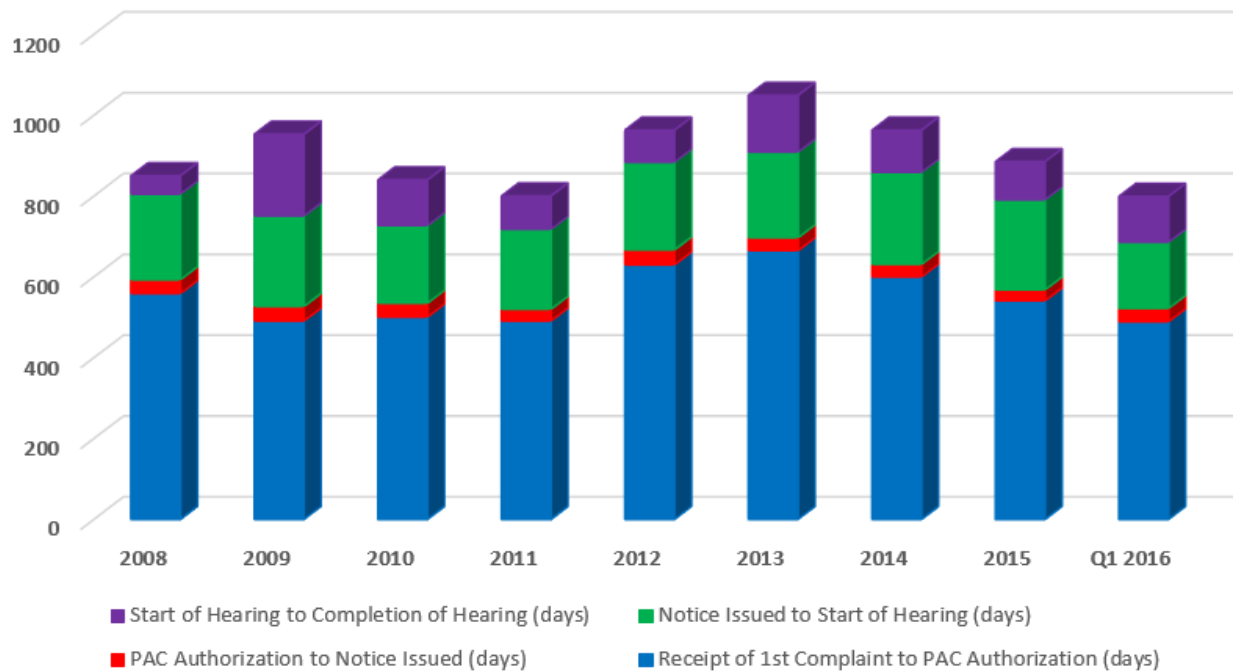
		Total 2010	Total 2011	Total 2012	Total 2013	Total 2014	Total 2015	Q1 2016
<b>Conduct Hearings</b>	Lawyers	85	84	82	94	101*	77	29
	Paralegal Licensees	3	17	20	18	23	21	5
<b>Interlocutory Suspension Hearings/Orders</b>	Lawyers	10	5	4	3	11	8	5
	Paralegal Licensees	-	-	1	-	3	3	2
<b>Capacity Hearings</b>	Lawyers	-	-	5	2	3	5	-
	Paralegal Licensees	-	-	-	-	-	-	-
<b>Competency Hearings</b>	Lawyers	-	-	-	-	-	-	-
	Paralegal Licensees	-	-	-	-	-	-	-
<b>Non-Compliance Hearings</b>	Lawyers	-	-	1	-	1*	1	-
	Paralegal Licensees	-	-	-	-	-	-	-
<b>Reinstatement Hearings</b>	Lawyers	3	5	3	1	3	2	2
	Paralegal Licensees	-	-	-	1	1	1	-
<b>Restoration</b>	Lawyers	-	-	-	-	-	-	-
	Paralegal Licensees	-	-	-	-	-	-	-
<b>Licensing Hearings (including Readmission)</b>	Lawyer Applicants	7	4	4	4	2	4	1
	Paralegal Applicants	33	7	5	3	4	7	2
<b>TOTAL NUMBER OF HEARINGS</b>	Lawyers*	105	98	101	104	120	97	37
	Paralegals*	36	24	26	22	31	32	9
	<b>TOTAL</b>	<b>141</b>	<b>122</b>	<b>125</b>	<b>126</b>	<b>151</b>	<b>129</b>	<b>46</b>

\*In Q2 2014, there was one hearing in which a conduct application and a non-compliance application were heard together. Both are included in the totals for lawyer conduct and lawyer non-compliance categories. However, it is only counted once in the total numbers for the quarter and for the year.

## 2.6 – Discipline (cont'd)

**Graph 2.6F: Age of Completed Matters in the Hearing Division**

	Total Completed Hearings	Date 1 <sup>st</sup> Complaint Received to Date Hearing Completed	Total Completed Hearings less Completed Mortgage Fraud Hearings	Date 1 <sup>st</sup> Complaint Received to Date Hearing Completed
2008	108	847 days	100	770 days
2009	102	841 days	98	813 days
2010	131	833 days	117	727 days
2011	114	770 days	102	652 days
2012	110	940 days	92	693 days
2013	123	1031 days	103	805 days
2014	135	896 days	126	797 days
2015	128	861 days	116	789 days
Q1 2016	46	813 days	44	732 days



	2008	2009	2010	2011	2012	2013	2014	2015	Q1 2016
Receipt of 1st Complaint to PAC Authorization (days)	559	491	501	491	630	665	600	541	489
PAC Authorization to Notice Issued (days)	34	36	34	29	37	32	31	27	33
Notice Issued to Start of Hearing (days)	212	224	192	198	217	212	228	223	164
Start of Hearing to Completion of Hearing (days)	45	202	113	82	79	140	104	104	113



## 2.6 – Discipline (cont'd)

### Graph 2.6G: Appeals and Judicial Reviews

The following chart sets out the number of appeals filed with the Appeal Division, the Divisional Court or the Court of Appeal in the calendar years 2010 to Q1 2016.

Quarter/Year	Appeal Division	Divisional Court	Court of Appeal
2010	27	3 appeals; 2 judicial reviews	4 motions for leave
2011	18	6 appeals; 2 judicial reviews	2 motions for leave
2012	23	4 appeals; 5 judicial reviews	2 motions for leave
2013	20	3 appeals; 3 judicial reviews	
2014	23	14 appeals; 5 judicial reviews	4 motions for leave
2015	16	6 appeals; 1 judicial review	5 motions for leave; 1 appeal; 2 other motions <sup>16</sup>
Q1 2016	3	2 appeals; 1 judicial review	2 motions for leave

As of March 31, 2016, there are 9 appeals pending before the Appeal Division, 1 appeal in which the Appeal Division has reserved on judgment, 1 appeal that has been adjourned sine die and 5 appeals in which costs or penalty decisions remain outstanding.

With respect to matters before the Divisional Court, there are 6 appeals and 3 judicial review matters pending. In the Court of Appeal, there are 2 motions for leave to appeal, 1 motion for a review of the Court's dismissal of a leave application and 1 appeal pending.

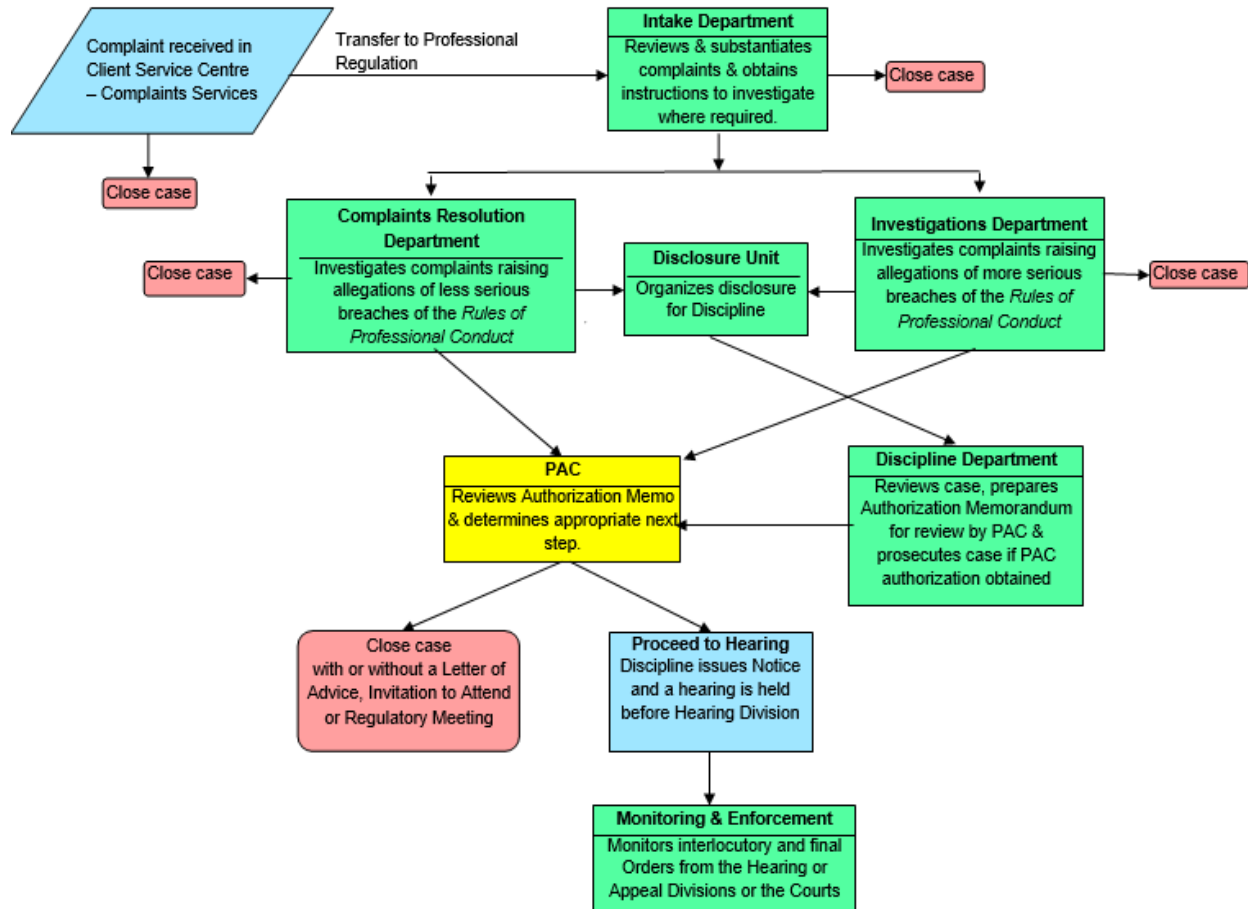
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<sup>16</sup> 1 motion to extend time for leave to appeal; 1 motion for review of denial of leave application

## **SECTION 3**

## **APPENDICES**

## Appendix A: The Professional Regulation Complaint Process



## Appendix B: Professional Regulation Organizational Chart

