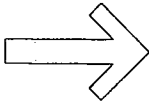


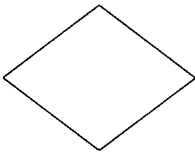
FLOWCHART KEY:



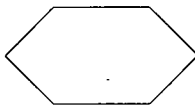
Start Point



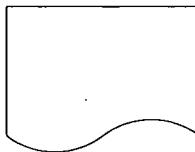
Process



Decision



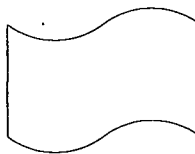
Case/Contact Record



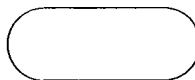
Document



Note/ToDo/Email Record



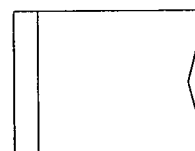
Event



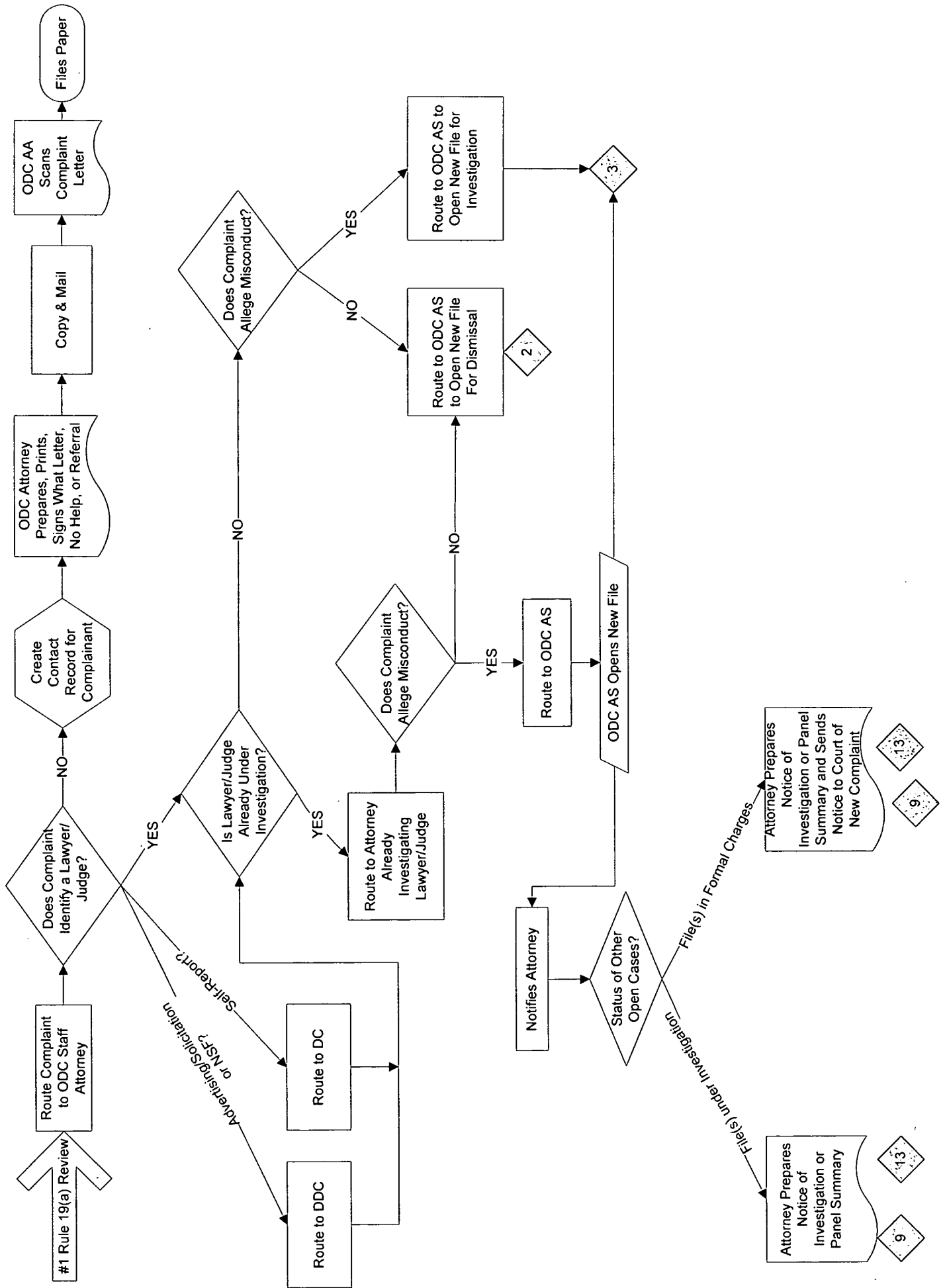
End of Process or Sub Process

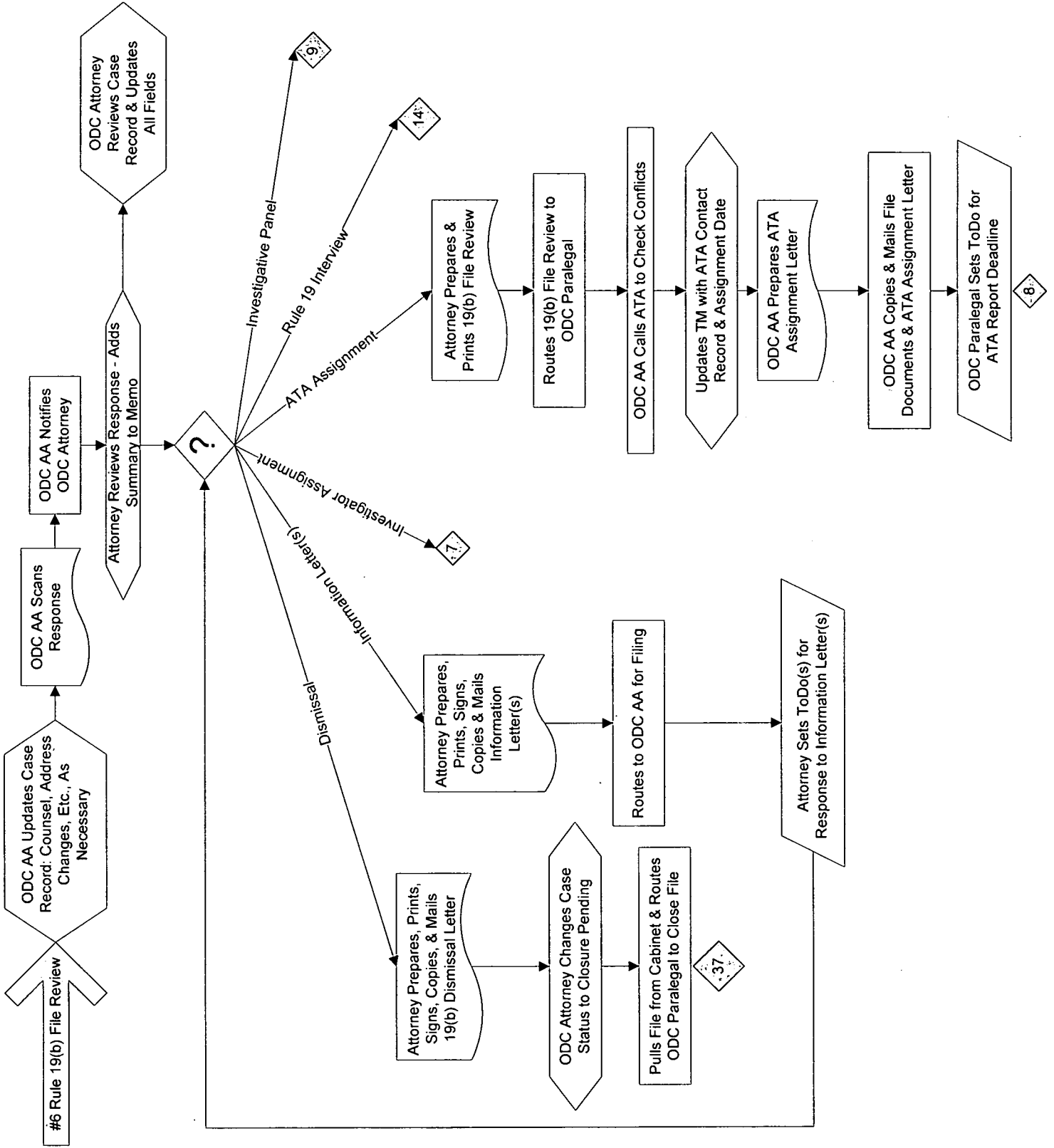


Process Continues on New Flowchart



Policy/Procedure Note





19(a) Review (ODC SA or JDC):

ALL 19(a) REVIEWS MUST BE DONE WITHIN 2 BUSINESS DAYS OF RECEIPT OF THE COMPLAINT.

- Attach a note to Complaint with the name of complainant, type of complainant, name of lawyer/ judge, type of case, and (if you know it) type of practice/ judicial office.
- If Complaint does not allege misconduct, indicate the type of dismissal letter (legal issues, fee dispute, guardian ad litem, PCR, etc.); Route to ODC AS to prepare TM file and dismissal letter.
- If Complaint does allege misconduct, route to ODC AS to prepare TM file and return to you to prepare Notice of Investigation (ODC AS will prepare acknowledgement letter for you to mail).
- Your initials and the date must be on the note.
- If Complaint against a lawyer also alleges misconduct on the part of a judge, route a copy of the Complaint (with your note) to JDC. If the Complaint against a judge also alleges misconduct on the part of a lawyer, route a copy of the Complaint (with your note) to ODC SA.
- When file is returned to you, add summary of allegations to Memo section of TM Case Record; prepare Notice of Investigation; set tickler for ELT for 17 days (note original due date at 15 days)
- Copy complaint and Notice and mail to Lawyer.
- Route hard file to file room.

Rule 19(a) File Review Procedures:

- ALL 19(a) REVIEWS MUST BE DONE WITHIN 2 BUSINESS DAYS OF RECEIPT OF THE COMPLAINT.
- Complaint includes a Freedom of Information Act request: Route a copy to Paralegal for response.
- Complainant asks how to file, but does not include any allegations: Route to ODC AS for How to File Letter
- Unclear Complaint or name of lawyer/judge is missing: Create Contact Record and prepare What Letter.
- Complaint is about a person or entity that is not a lawyer or judge: Create Contact Record and prepare a No Help or Refer to Other Agency Letter. If you know the appropriate agency, provide the complainant with contact information for that agency. If Complaint involves UPL, refer to AGO.
- Complaint is a self-report letter (that is not related to trust account): Route Complaint to DC.
- Complaint is a self-report about trust account: Route to DDC.
- Complaint is about advertising or solicitation: Route to DDC.
- Complaint names a particular lawyer: Check TM database for other open investigation about that lawyer. If there is another open investigation, route the Complaint to the ODC attorney handling the open matter.

Rule 19(b) File Review Procedures:

ALL 19(b) REVIEWS MUST BE DONE WITHIN 10 BUSINESS DAYS OF RECEIPT OF THE COMPLAINT.

- You will be alerted that the response to the Notice has been received via instant message in TM. Upon receipt of that message, convert it to a 10-day tickler for yourself to review the file.
- Review complaint & response & any supplemental information received from complainant
- Summarize Lawyer's response in Memo section of TM Case Record.
- If supplemental information contains new allegations, send to Lawyer for additional response, set new tickler for yourself for 15 days.
- Make sure that any preliminary questions raised by the Complainant or the Lawyer are responded to.
- If there is no evidence of misconduct and no unresolvable factual dispute, prepare dismissal letter.
- If there is no misconduct and a resolvable factual dispute, prepare panel summary and copies for IP review and dismissal.
- If there is no evidence of misconduct but a caution is appropriate, prepare LOC and NOFD for DC to review and sign.
- If LOC with a finding of misconduct is appropriate, prepare panel summary and copies for IP review.
- If additional information, investigation, or negotiation is required, Notify DDC to assign for investigation.