

DISCIPLINE PROCESS

The Disciplinary Action Exchange (DAE) was developed to help the BOC, states and consumers locate disciplinary actions in an efficient manner. The BOC encourages all states to participate in the DAE. The DAE contains final BOC disciplinary actions that have been deemed public, as well as disciplinary actions taken by state regulatory agencies. The following is the disciplinary process:



DISCIPLINARY DOCUMENTATION RECEIVED

- Complaints
 - BOC website, email and mail
- Google alerts
- State notification
 - Disciplinary Action Exchange (DAE), email and mail



DISCIPLINARY CASE OPENED

- Investigation
- Collect documentation
- Review documentation
- Decision
 - Committee reviews case if precedence has not been set
 - Committee meets monthly via conference call



DISCIPLINARY DECISIONS

- Private
 - Discipline is not made public
 - Audit, Private Censure and corrective training
- Public
 - Discipline is posted on the DAE
 - Public Censure, Suspension and Revocation
 - Copy of discipline decision is mailed to state of residence we have on record

To view cases on the DAE, visit BOCATC.org/DAE

To submit cases to the DAE, visit AT Regulatory Connect (at.bocac.org/users/sign_in), the secure portal for states and click on Submit Disciplinary Action.