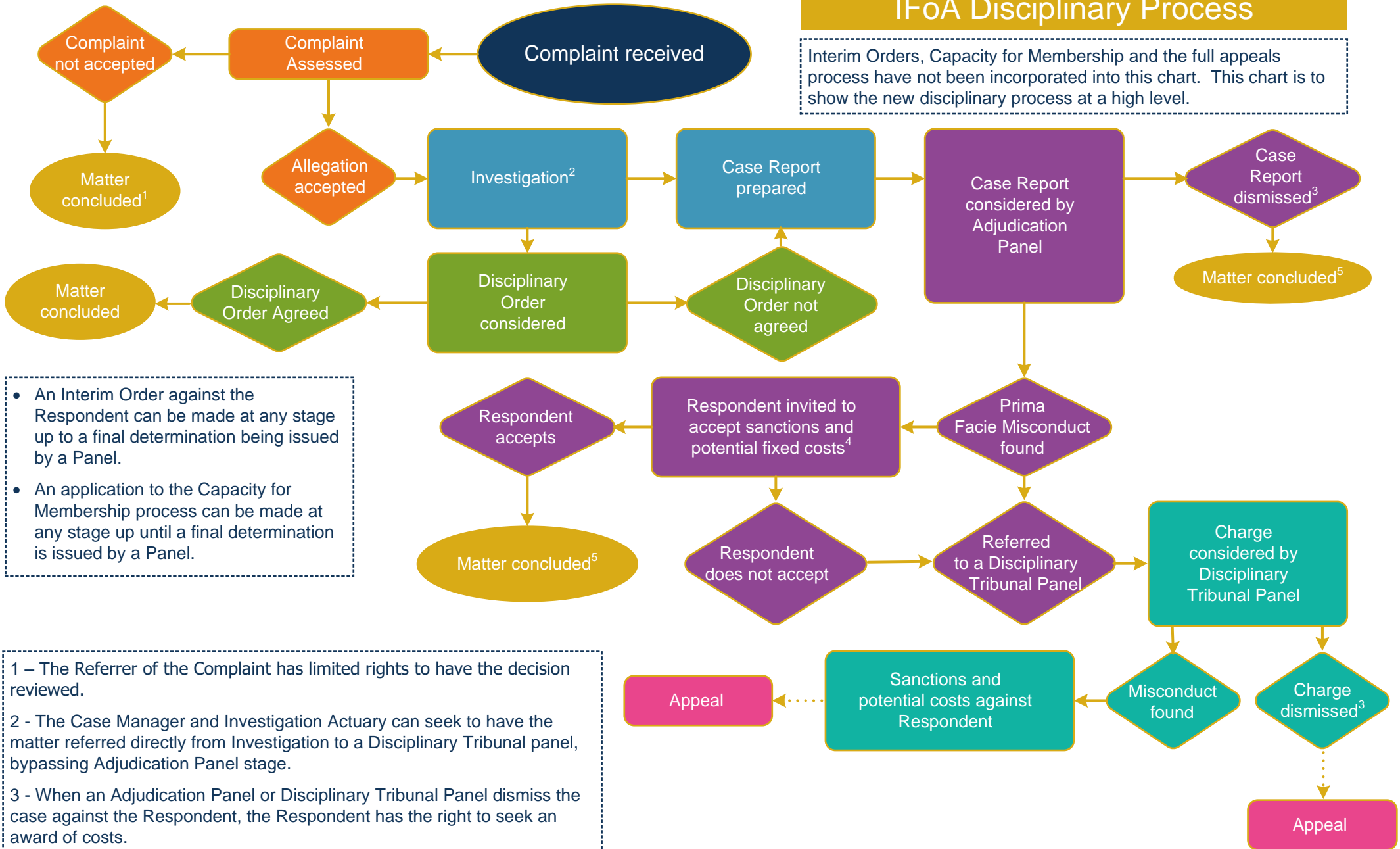


IFoA Disciplinary Process

Interim Orders, Capacity for Membership and the full appeals process have not been incorporated into this chart. This chart is to show the new disciplinary process at a high level.



- An Interim Order against the Respondent can be made at any stage up to a final determination being issued by a Panel.
- An application to the Capacity for Membership process can be made at any stage up until a final determination is issued by a Panel.

- 1 – The Referrer of the Complaint has limited rights to have the decision reviewed.
- 2 - The Case Manager and Investigation Actuary can seek to have the matter referred directly from Investigation to a Disciplinary Tribunal panel, bypassing Adjudication Panel stage.
- 3 - When an Adjudication Panel or Disciplinary Tribunal Panel dismiss the case against the Respondent, the Respondent has the right to seek an award of costs.
- 4 - Adjudication Panels have the power to exclude a former Member.
- 5 - The IFoA has limited right of review to the Independent Reviewer and the referrer of the complaint only has limited right of review where the Case Report is dismissed.