



Institute  
and Faculty  
of Actuaries

# Putting Things Right

01 December 2020



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## 1. Introduction

The Institute and Faculty of Actuaries (IFoA) is committed to providing a high-quality service to our members, students, volunteers and stakeholders. If we make mistakes we want to put things right. By monitoring any concerns raised, including any formal complaints, and by taking prompt corrective action where necessary, we seek to learn from where things have gone wrong and to ensure improvements are made.

The Putting Things Right policy is designed to ensure that issues are understood and improvements are made in a fair and consistent manner. The process outlined below is for use when handling feedback and complaints primarily about the standards of service at the IFoA. Putting Things Right does not review substantive evidence where a decision-making process has been followed, but can be considered for all service complaints relating to employees and/or volunteers involved in such processes where no other appeals or complaints process exists.

The process runs entirely separately from the disciplinary scheme of the IFoA.

This version of the "Putting Things Right" policy, issued on 01 December 2020 supersedes all previous versions and processes for the handling of standards of service, feedback and complaints, including all previous documents of the same name.

## 2. Who can complain?

Anyone using the services of the IFoA, including our members, students, volunteers, stakeholders and non-member individuals can raise a complaint under the Putting Things Right Policy.

Sometimes individuals may be unable or reluctant to make a complaint on their own. The IFoA will accept complaints brought by third parties, as long as the individual affected has given their personal consent under the requirements of the Data Protection Act (1998). This means that a complainant may give clear written authority for a third party to act on their behalf.

Putting Things Right is the highest escalation point within the IFoA. A complainant has to be able to demonstrate that all other appropriate complaints channels have been exhausted, where appropriate, before applying through Putting Things Right.

## 3. Types of complaint

Circumstances which might give rise to a complaint under this process include (but are not limited to):

- a) Unreasonable delays
- b) Mistakes
- c) Language used which is reasonably perceived to be racist, sexist or otherwise discriminatory, offensive or disrespectful
- d) Failures of process
- e) Inadequate communications

## 4. What is not covered by this complaints procedure?

Where a complaint is not accepted under Putting Things Right, the reasoning for that decision will be communicated to the complainant. Reasons for rejecting a complaint might include (but are not limited to):

- a) Other complaints process(es) have not yet been fully concluded
- b) The complaint is about a matter of IFoA policy rather than standards of service
- c) There is a more appropriate channel (e.g., The Mitigating Circumstances policy, the Lifelong Learning complaints policy, the Qualifications complaints policy) for the complaint
- d) Some complaints may be measured as minor and fall below a threshold that will not be

considered under Putting Things Right; should this be the case, you will be given reasons why your complaint cannot be considered under this policy

- e) The subject of the complaint has already been substantively considered under Putting Things Right
- f) Complaints which relate to the outcomes of disciplinary hearings or investigations

## **5. The complaint-handling procedure**

It would usually be appropriate to raise the matter initially with the person you have been dealing with, or their manager. If your complaint relates to a matter for which there is a clear complaint or appeal process, you should use that process to raise your concern. However, the IFoA recognises that it will not always be appropriate or possible to raise a concern directly with a member of staff.

If you have spoken with the person involved (or their manager) and have been unable to resolve the matter, or you do not feel it is appropriate to raise the matter directly with them, you should provide your feedback or raise a complaint via Putting Things Right.

A complainant will not be treated less favourably or adversely as a result of having raised a complaint.

When making a complaint you should provide the following information:

- a) Your name, address and ARN
- b) What went wrong
- c) Who you dealt with
- d) What effect our actions had on you
- e) The resolution you are looking for
- f) Any relevant reference numbers or other information that will assist in investigating the matter; we recommend you include this kind of information to support your complaint, which may include (but is not limited to) emails/correspondence, screenshots, captured dates and times of events.

## **6. What happens next?**

- a) An acknowledgement of receipt of the complaint will be made, usually within three working days.
- b) The Chief Executive Officer, or an appointed senior member of staff, will review your complaint and decide whether or not it should be accepted for consideration under Putting Things Right.
- c) Where the complaint is accepted under Putting Things Right, the Chief Executive Officer will then either consider the complaint themselves, or assign the complaint to an appropriate senior member of staff or IFoA office holder, who has not previously been involved in the substance of the complaint. We aim to provide you with this confirmation within five working days of your complaint being acknowledged.
- d) We aim to respond in full, with an outcome, to all complaints within 30 working days of you being informed of the details of the investigating person; however, we recognise that this is not always possible. If we are unable to provide a full response within this timeframe, you will be notified and given an estimate of when to expect a response.
- e) Where a complaint is upheld, you will be notified in writing confirming the outcome, with reasons, and will be made aware of any remedial action taken as well as any change(s) to the procedure in light of the complaint.
- f) Where a complaint is not upheld, you will be notified in writing and provided with an explanation as to why this has not been supported.
- g) Receipt of a written decision under e) or f) of the Putting Things Right concludes the process. This means that the IFoA will consider the matter to be at an end at this point. If you have a complaint about the way in which the IFoA has dealt with your service complaint, you can

refer that to the IFoA's oversight body, the Financial Reporting Council ("FRC").  
<https://www.frc.org.uk/about-the-frc/making-complaints-or-referrals-to-the-frc>

- h)** A complaint will not normally be accepted under this policy if submitted more than three months after the issue giving rise to the complaint; individuals will need to provide good reason as to why the issue could not have been raised sooner if outside of three months. Historical complaints may be considered at the discretion of the IFoA.



# Institute and Faculty of Actuaries

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