



Disciplinary Committee complaints statement

Introduction

The purpose of the Disciplinary Committee is to oversee the management and operation of the Disciplinary Scheme. One of its [responsibilities](#) is to receive and consider feedback from stakeholders on the effectiveness of the operation of the disciplinary process and, where appropriate, takes steps to improve the process.

The Disciplinary Committee welcomes such feedback whether it is provided through the survey provided to Panel members, Respondents and referrers of complaints, or whether it is sent directly to the Committee. Feedback can be sent directly to the Committee by emailing disciplinary.committee@actuaries.org.uk

Examples of feedback relevant to the Committee's oversight role are;

- Feedback about the disciplinary processes, including suggestions for improvements.
- Feedback about timescales.
- Feedback about communications received from the IFoA.
- Any other feedback on a disciplinary policy/guidance.

The Disciplinary Committee will **not** consider feedback about the following;

- The outcome of a case that has been concluded. Panels operate independently from the Disciplinary Committee; the Disciplinary Committee has no power to intervene in a case or change the outcome of a case. Please refer to the Disciplinary Scheme for details of the review and appeal processes.
- A member of the IFoA. Complaints about members of the IFoA should be referred for consideration under the [independent disciplinary process](#).
- A case which is under consideration (or is expected to be handled) in an external forum, for example, a court, employment tribunal or by a specialist regulator such as the Information Commissioner.
- Any matter which has already been the subject of feedback to the Committee and was determined by the Committee not to be a matter which it would consider; or has already been considered by the Committee.

What can you expect from the Disciplinary Committee

Please note that the Committee meets once a quarter. The timeframes detailed below are guidelines that the Committee aims to meet, but there may be situations where the Committee is not able to meet them and you will be advised if this is the case.

1. Any feedback to the Committee must be provided in writing. When you provide the feedback, please detail:
 - your full name, address and case reference number (if appropriate);
 - a brief explanation of the matter you want to feedback to the Committee;
 - an outline of what you hope to achieve as a result of raising the matter.
2. When you provide feedback directly to the Disciplinary Committee, it should be acknowledged on behalf of the Committee within five working days of receipt.
3. Within 10 working days of receipt;
 - (a) If the matter you have raised is not appropriate for consideration by the Disciplinary Committee you should be advised and if appropriate, directed to a more appropriate route/process¹; or
 - (b) You should be advised that the matter will be considered by the Disciplinary Committee at their next meeting and you should be provided with the date of that meeting.
4. Within 28 working days of the Disciplinary Committee meeting you should be provided with a written response to your feedback authorised by the Chair of the Disciplinary Committee.
5. If you are not satisfied with the response of the Disciplinary Committee, you can respond to the Disciplinary Committee. However, if you continue to be dissatisfied you may wish to raise the matter through the Putting Things Right process (further information below).
6. As set out above, the Disciplinary Committee will not consider feedback on a matter which you have already raised.
7. The Disciplinary Committee may advise that they cannot do anything further and will not correspond further about the matter.

Putting Things Right

The IFoA's [Putting Things Right policy](#) is for use by someone who has already raised a complaint through an informal and then formal route and feels their complaint has not been resolved. This may be an option if you are not satisfied with the outcome of your feedback to the Disciplinary Committee. Putting Things Right is the highest escalation point within the IFoA.

The Putting Things Right process runs entirely separately from the IFoA Disciplinary Scheme. The Putting Things Right policy **does not** apply to matters of IFoA policy or complaints about the outcome of disciplinary hearings or investigations. However, it can be used to raise concerns about service matters such as;

- The IFoA took too long to handle a case
- The IFoA did not communicate clearly

¹ A note of matters raised but not considered appropriate for consideration by the Disciplinary Committee will be maintained and available to the Disciplinary Committee

Please note that the Putting Things Right process does not review substantive evidence where a decision-making process has been followed - but can be used for service complaints relating to employees and/or volunteers involved in such processes where no other appeals or complaints process exists.

Please contact Puttingthingsright@actuaries.org.uk to raise a complaint through the Putting Things Right process.

Financial Reporting Council (FRC)

The FRC has independent oversight of the regulation of the actuarial profession by the IFoA. If you are not satisfied with the way that the IFoA has handled a complaint made under the Disciplinary Scheme, you can complain to the [FRC](#).

The FRC are not a route of appeal and they will not change the outcome of complaints made under the Disciplinary Scheme. The FRC's review will focus on whether the IFoA has followed its own Scheme, policies and procedures when investigating a complaint made to it.

Managing unacceptable behaviour

All individuals, whether members, employees or members of the public, have the right to be heard, understood and treated respectfully. Most individuals who contact the IFoA do so in a polite and courteous manner. However, there are instances where actions or behaviours are considered unacceptable. The IFoA has an [unacceptable behaviour and actions policy](#) to deal with such situations.

If the Disciplinary Committee considers that behaviour of an individual is unacceptable they will stop all communications with that individual and refer the matter to a member of the IFoA's Executive Leadership Team under the unacceptable behaviour and actions policy. Unacceptable behaviour includes;

- abusive, threatening or offensive behaviour;
- making unreasonable demands in terms of the amount of information being sought, the level of service expected and the amount of contact made and expected in return;
- unreasonable persistence, including raising the same or related matters a number of times, without raising any (material) new issues;
- failing to accept a decision, where appropriate explanation has been given for that decision and the appropriate process followed.

Membership Complaints Policy

Members are also able to make a service complaint through the [Membership Complaints Policy](#). The Membership Complaints Policy allows members to raise general concerns and feedback relating to the level of service received. Some examples may be error or misinformation in IFoA correspondence or a complaint about a member of staff.

The Membership Complaints policy **does not** apply to feedback about disciplinary policy. Any complaints of that nature should be referred directly to the Disciplinary Committee.

If you have any questions about this statement, please contact the Secretary to the Disciplinary Committee – disciplinary.committee@actuaries.org.uk