



Disciplinary Committee (DC)

19 March 2025, 09:15 – 12:15

Via MS Teams

Attending:

Velia Soames (VS), Interim Chair
Jeremy Hill (JH)
Robert Garvin (RG)
Rosalyn Hayles (RH)

Executive Staff:

Sarah Borthwick (SB), Disciplinary Policy Manager
Jenny Higgins (JAH), Head of Disciplinary Investigations Team
Sarah Drummond (SD), Head of Legal Services (Item 8 onwards)
Catherine Mouat (CM), Disciplinary Investigation Coordinator (note taker)

In attendance: Rt Hon David Heath CBE (DH), Observer

| Item | Title |
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| 1. | Welcome and apologies VS welcomed everyone to the meeting, including DH who was observing this meeting ahead of becoming Chair on 1 April 2025. |
| 2. | Declaration of Conflicts of interests No conflicts were declared. |
| 3. | Chair's update VS advised she had attended the February Regulatory Board meeting as an observer. VS advised that SB attended to present the Committee's annual report to the Board. The report had been well received and had generated an interesting discussion about the level of complaints the IFoA receive. VS assured the Board that this was something under consideration by the Committee. |
| 4. | Executive's Update SB introduced the paper and highlighted: <ul style="list-style-type: none">• RG had agreed to renew his term and stay on the Committee for another three years.• The eight-week feedback period on proposed changes to the Actuaries' Code had now launched.• The new Case Management system is now live and working well, but some difficulties remain on the Panels' section. The Committee noted the remainder of the update. |
| 5. | Minutes and Actions The minutes of the December 2024 meeting were approved, with no redactions required. The action sheet was noted. Action: Executive to publish minutes of December 2024 meeting. |



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| 6. | <p>Objectives update</p> <p>SB introduced the papers which outlined the progress of the Committee's objectives. The Committee noted the good progress made to date. The Committee further noted the future work plan and SB advised that discussions would take place with the incoming Chair about objectives for the 2025/26 year.</p> |
| 7. | <p>Impact of being a global body</p> <p>One of the Committee's objectives for the 2024/25 year is '<i>Consideration of how the IFoA's aim of being a global body may impact on the disciplinary process</i>'. SB introduced the paper which set out factors for the Committee to discuss and asked the Committee to consider any further action required.</p> <p>SB highlighted that around 46% of the IFoA's Membership are overseas and that, of the 61 disciplinary complaints and allegations received over the past four years, 21% have concerned overseas Members. SB further advised that the Scheme Review Working Party did consider the IFoA's global membership and the new Scheme was drafted to be less UK centric. As well as removing irrelevant references to the UK, the new Scheme allows electronic service of papers, online hearings and hearing start/finish times are adjusted for different time zones. The Committee also noted that Adjustments to the Disciplinary Process Guidance has been published to support the current Scheme, which provides for adjustments such as access to an interpreter.</p> <p>The Committee recognised that the disciplinary pools were not fully reflective of the make-up of the membership in terms of geographical basis (and other demographics), but acknowledged that the Regulatory Appointments Committee, who are responsible for the appointment of Disciplinary Pools, are considering the composition of the Disciplinary Pools and whether there are areas of under representation.</p> <p>The Committee considered that a lack of awareness of the Scheme may be factor in the low level of complaints about overseas members. It was agreed that the Executive should obtain information about the locations of overseas members and this may allow the Committee to focus on promoting the Scheme in particular locations.</p> <p>With regard to the particular suggestions from the Disciplinary Scheme Review Working Party, which were passed to the Disciplinary Board (as it was then) for further consideration, the Committee agreed that those which required further attention were;</p> <ul style="list-style-type: none">• Having the ability for Panels to rely upon local expertise and the Committee agreed this should be done through the appointment of an expert, where necessary, rather than through Panel members• Consideration of further training for Panel members in relation to convictions <p>It was also agreed it would be helpful for the Executive to further research the approach of comparable regulators, and share the results with the Committee for further discussion. This should focus on the particular challenges in applying a disciplinary scheme globally and how to raise awareness of such a scheme.</p> <p>Actions:</p> <ul style="list-style-type: none">• Executive to obtain breakdown of where Members are based.• Executive to research approach of other regulators. |



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| 8. | <p>Case File Review</p> <p>It had been previously agreed that the Committee should review a small sample of cases from beginning to end, focussing on the assessment stage and disciplinary orders stage.</p> <p>RH completed a review of 10 cases, and introduced the cover paper and accompanying report which outlined her findings. The review focussed on timelines; how clearly any decisions were communicated; how clearly the information about the disciplinary process was communicated to the respondent and referrer; and consideration of any feedback received in relation to the case under review.</p> <p>RH thanked the Executive for sharing the documents and answering her queries during the review. RH advised that her overwhelming impression on reviewing this relatively small number of cases was very positive. She considered systems to be working well, staff to be interactive with parties and decisions made within reasonable timeframes.</p> <p>RH considered the introduction of the assessment process to be the big success story of the new Scheme and confirmed timeframes were significantly shorter than the equivalent timeframes for comparable cases determined under the previous Schemes.</p> <p>She also highlighted the positive introduction of Disciplinary Orders and, whilst this process still took some time to complete in order to allow respondents time to consider and raise questions, they were helpful in reducing costs and time that would ordinarily be incurred through the Adjudication Panel process. JAH advised that those reviewed by RH were the first two Disciplinary Orders carried out and adjustments have now been made which should result in improved timeframes.</p> <p>Following discussions the Committee agreed that reviewing the costs should be included as part of the post implementation review scheduled for the September meeting.</p> <p>The Committee thanked RH for the time taken in producing such a comprehensive review and report on their behalf.</p> <p>Actions:</p> <p>Costs of the process to be included as part of the post implementation review item on the September 2025 agenda.</p> |
| 9. | <p>Proposed changes to Regulation 9 of the Case Report and Assessment Panel Regulations</p> <p>SD introduced the paper which proposed changes to the notice service period for Adjudication Panel hearings. A 28 day notice period for Adjudication Panel hearings had been introduced under the new Disciplinary Scheme, however the Clerk Team had experienced difficulties with meeting this timeframe while still ensuring hearings were scheduled within 8 weeks of a Case Report being served.</p> <p>The Committee agreed that there should continue to be a specified notice period for Adjudication Panels in the Scheme to allow certainty and be consistent with other disciplinary processes. The Committee therefore agreed to reduce the notice period to seven days. The Committee noted that, as parties do not attend an Adjudication Panel hearing, the reduced notice period would not cause unfairness and would ensure that Adjudication Panel hearings could continue to be held within 8 weeks of service of the Case Report.</p> <p>Action:</p> <p>Regulation 9 of the Case Report and Assessment Panel Regulations to be amended and published.</p> |



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| 10. | <p>Case Update report</p> <p>JAH summarised progress made on the investigation of cases since the December meeting, as outlined in the report, and advised that, following preparation of the report, the one outstanding complaint at the assessment stage has now been rejected/concluded.</p> <p>SD summarised the Panels which have taken place since the last meeting and advised that since the paper was issued:</p> <ul style="list-style-type: none">• The IFoA had applied for correction of errors in one Adjudication Panel determination. The panel accepted this application, and the case is now concluded.• One case considered by an Adjudication Panel in early March is now with the Respondent to consider whether to accept the outcome.• One Disciplinary Tribunal hearing has been scheduled for May and another for June. <p>The Chair thanked the Executive for a comprehensive and interesting report.</p> |
| 11. | <p>Feedback</p> <p>SB introduced the paper, which set out feedback received from stakeholders since the last Committee meeting in December. SB noted that feedback levels were proportionally lower than before and suggested that this be monitoring to see if further action is needed to encourage engagement.</p> <p>Action:</p> <p>Executive to contact Assessment Panel Member to clarify process.</p> |
| 12. | <p>Training update</p> <p>SB introduced the paper which included an update on the training plan progress and a breakdown of the proportion of disciplinary volunteers attending training, which the Committee requested at the December meeting.</p> <p>The final General Disciplinary training session took place online on 9 January 2025. Feedback had been requested from attendees of all three sessions but only 30% of attendees provided feedback. Overall, the feedback was positive but some commented that the Case Law update and personal behaviour sessions felt a bit rushed. JH had attended the session and agreed with this view. The Executive confirmed they will bear this in mind for future training sessions. The Committee noted that a combined 73% of Investigations Actuaries and Panel members attended the training, which was a good attendance rate.</p> <p>SB advised that she had completed the inclusive and effective volunteering on demand training and suggested that some of it would be relevant to Panel members and Investigation Actuaries and it could be completed as an introduction to DEI, with further training around the changes to the Actuaries' Code. Committee members have also been asked to complete the training.</p> <p>The Committee noted that the Judicial Committees Secretary has begun discussions with the Convenors and Deputy Conveners about the training plan for 2025 and the future workplan showed this was would be considered at the June meeting.</p> <p>Action:</p> <p>Executive to share inclusive and effective volunteering training with Panel members and Investigation Actuaries.</p> |



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| 13. | Risk register <p>SB introduced this paper and highlighted the addition of the new risk matrix. Although not materially different to the previous version, she would discuss it with the IFoA's Risk Manager to assess whether any changes are required to the register considering the new matrix.</p> <p>At the December 2024 meeting the Committee discussed whether the vacancy for a permanent Chair coupled with the Interim Chair's second term ending in April should be added to the register. Given that a new Chair has been appointed and interviews for a Lay Committee member are taking place next week, the Committee decided it did not require to be added to the register. It was agreed that the more general risk of the Committee not having sufficient members was covered under the general operational risk which included "<i>individuals resigning/retiring from roles without succession planning in place</i>".</p> <p>Action: Executive to review the Risk Register against the new matrix.</p> |
| 14. | Matters to raise with Regulatory Board <p>No matters arising from this meeting require to be raised with Regulatory Board.</p> |
| 15. | Schedule of Guidance/Regulations <p>Noted.</p> |
| 16. | Schedule of DC term times <p>Noted.</p> |
| 17. | AOB <p>As this was VS's last meeting as a member of the Committee, Committee members and the Executive thanked VS for her valuable contributions to the Committee, and in particular stepping into the Interim Chair Role. VS commented that she had enjoyed her time on the Committee and gave thanks for the support received from the Executive.</p> <p>SB advised that the 3 September 2025 meeting will need to be rescheduled due to the incoming Chair's unavailability.</p> <p>Action: Executive to rearrange September meeting date.</p> |

For information

Dates of Next Meetings:

- Wed 25 June
- Wed 3 Sept (to be rescheduled)
- Tues 9 Dec

Forthcoming Hearings: Details of hearings are published [here](#)