Institute and Faculty of Actuaries

Adjustments to the Disciplinary Process

Guidance

by the Disciplinary Committee of
the Institute and Faculty of Actuaries

Version 1.1

1 November 2026

Adjustments to the Disciplinary Process

1. Introduction

1.1 This Guidance has been issued by the Disciplinary Committee of the IFoA.

1.2 It is for use by:

(a) Panels, to provide further detail on their powers and procedures to be followed;

(b) any other party, so they are aware of the powers of the Panel and procedures to be followed; and

(c) IFoA staff.

1.3 This Guidance aims to promote transparency and consistency in the approach of Panels and the IFoA staff.

1.4 This Guidance applies to all Complaints and applications being considered under the Disciplinary Scheme of the IFoA (effective 1 August 2023) (the Scheme). For Complaints that are being considered under a former version of the IFoA's Disciplinary Scheme, the version of the Guidance applicable to the former version of the Disciplinary Scheme should be applied to the extent that it is possible to do so, otherwise this Guidance will apply.

1.5 This Guidance should be read alongside:

(a) the Scheme; and

(b) any Regulations issued by the Disciplinary Committee; and

(c) any other relevant Guidance published by the Disciplinary Committee.

1.6 Where there is any conflict or inconsistency between the Scheme and this Guidance, the Scheme shall be followed. Where there is any conflict or inconsistency between Regulations and this Guidance, the Regulations shall be followed.

1.7 Definitions of defined terms used in this Guidance are set out in the Scheme and Regulations.

1.8 This Guidance should not be treated as legal advice. When appropriate, the Legal Adviser will advise the Panel on questions of law and/or procedure, which may include advice on the use of this Guidance.

1.9 The Disciplinary Committee will review this Guidance every three years or earlier if needed.

2. Aim

2.1 This Guidance:

(a) sets out when adjustments to the disciplinary process may be requested to assist Respondents, Applications and witnesses with participating in the proceedings;

(b) provides examples of what adjustments may be available; and

(c) sets out how adjustments may be requested and the process for deciding an application for adjustments.

3. What adjustments may be made?

3.1 A Respondent, Applicant or a witness may ask for adjustments to be made to the disciplinary process to assist them with participating in the proceedings.

3.2 Adjustments can be requested at any stage of an investigation or in advance of a hearing.

3.3 Examples of when an adjustment may be requested include where the person has a health condition, an impairment, a learning disability, communication difficulties or needs to observe a religious practice.

3.4 Some examples of adjustments are:

(a) additional time to respond to communications, consider documents or give evidence;

(b) communications being provided in a particular format;

(c) access to an interpreter to assist with responding to questions;

(d) participation via video conference or telephone rather than in person;

(e) taking account of religious observances and festivals when scheduling hearings and when scheduling the timing for a witness to give their evidence; and

(f) more frequent breaks during a hearing.

4. How should an application for adjustments be made?

4.1 The Case Manager should make all participants in a hearing aware of this Guidance note, or otherwise let them know the adjustments that may be available to them.

4.2 Respondents, Applicants and witnesses wishing to request an adjustment should contact the Case Manager allocated to the case in the first instance. They should set out what adjustment(s) they require and the reasons why the adjustments are required. Evidence may be required to support the request.

4.3 If the Case Manager agrees with the request for adjustments, they should arrange for the adjustments requested to be applied. Where the adjustments relate to the operation of the hearing, the Case Manager should notify the Judicial Committees Secretary to allow appropriate arrangements to be made at the hearing.

4.4 If the Case Manager does not agree with the request for adjustments, the Case Manager should advise the person making the request of their view, the reasons for this and how the person can make a written application for adjustments. The person making the request may submit a written application to the Judicial Committees Secretary for consideration by the Chair. The application should set out:

(a) the reasons why adjustments are required, with supporting evidence where appropriate; and

(b) the adjustments sought and how those adjustments will help the person participate in the investigation and/or hearing.

4.5 The Case Manager will have an opportunity to comment on the application.

4.6 The Chair will decide whether the application can be considered in writing or whether a preliminary hearing should be held to consider the application. The Chair will decide whether adjustments should be made and what those adjustments should be. In considering whether an application for adjustments should be accepted the Chair should have regard to the need to carry out proceedings fairly and expeditiously and the impact on the person making the request should the adjustment not be accepted. The Chair should also have regard to any costs or administrative burden involved in providing the adjustment and whether this is reasonable and proportionate.

4.7 If a preliminary hearing is to be held, this will be arranged in accordance with the applicable Rules and Regulations.

Document control

Version	Date of publication	Overview
1.0	1 August 2023	Guidance for Disciplinary Scheme effective 1 August 2023
1.1	1 November 2026	Rearranging the order of the information provided in paragraphs 4.6 and 4.7



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