Institute and Faculty of Actuaries

Minutes

Disciplinary Committee

4 March 2026, 10:15-13:15 via MS Teams

Attending	David Heath (DH), Chair Jeremy Hill (JH) Robert Garvin (RG) Catherine Boyd (CB) Rosalyn Hayles (RH)
Executive	Vicky Smithard (VS), Disciplinary Committee Secretary Julia Wanless (JW), Judicial Committees Secretary Alison Simpson (AS) Acting Head of Disciplinary Investigations

Item	Title
1.	**Welcome and apologies** DH welcomed everyone to the meeting and noted there were no apologies. VS was welcomed to the meeting having recently joined the IFoA.
2.	**Declaration of Conflicts of Interest** No conflicts were declared.
3.	**Chair's Update** The Chair noted there were no significant updates to report given the period since the last meeting largely covered the festive period.
4.	**Executive Update** The Committee noted the Executive Update which included information on the ongoing regulatory work.
5.	**Minutes and Actions** The minutes of the December 2025 meeting were approved. The action sheet was noted and completed actions agreed for closure. **Action: Executive to publish minutes of December 2025 meeting.**
6.	**Objectives update** These papers provided an update on the status of the 2025/26 Committee objectives. The Committee had no questions and noted the contents of the papers.

Item	Title
7.	**Post-implementation Review of Disciplinary Scheme** The Committee noted the paper which was taken as read. The Committee considered the scope and approach for a formal review of the implementation of the Disciplinary Scheme introduced in 2023. Key themes included: • Defining success measures, including efficiency, timeliness, and usability of the process. • Assessing outcomes for different case types. • Evaluating user experience through feedback and survey data. • Considering the internal impact on operational teams and sustainability of delivery. • Clarifying the intended audience for the review, including internal governance bodies and potential external reporting. • Recognising early evidence suggesting improved triage and efficiency, including a reduction in unnecessary investigations. It was discussed and agreed that the Committee would carry out the review at their Autumn Committee meeting. **Action: Executive to prepare review documentation and develop proposals for the Committee to consider at their Autum meeting.**
8.	**Guidance and Regulations Review Schedule** The Committee noted that multiple Disciplinary Scheme guidance documents are scheduled for review at the same time. It was agreed to adopt a proportionate approach by: • Approving unchanged documents in groups where no updates are expected. • Deferring detailed consideration of documents likely to require amendment until the post implementation Scheme review. This approach will streamline workload while ensuring appropriate oversight. **Action: Executive to prepare list of guidance documents where no changes are recommended for next Committee meeting.**
9.	**Regulatory Appointments Committee (RAC) Legal Adviser Appointments Review** The Committee discussed upcoming appointments activity of the RAC and considerations around the management and utilisation of legal assessors. It noted that a new appointments round was due to begin shortly to increase capacity within the Legal Adviser (LA) pool. There was broad agreement on the importance of using this opportunity to strengthen resilience and prepare for potential increases in case volume. The Committee agreed to recommend to the Regulatory Appointments Committee to: • Retain the current tenure arrangements. • Increase the overall size of the legal assessor pool. • Introduce a reserve list to support capacity and responsiveness. **Action: The Executive to ensure these points are reflected in a paper to be submitted to the Regulatory Appointments Committee for consideration at its upcoming meeting.**

Item	Title
10.	**Amendments to Publications Guidance** The Committee first considered whether and, if so, how the current process for handling hearing transcripts should be incorporated into the Publication Guidance. There was general agreement to include the process, with a focus on improving clarity, accuracy, and usability of the guidance. The Committee emphasised the need to ensure the wording clearly reflects operational practice and avoids ambiguity. The Committee agreed that the guidance ought to be amended to: • Clearly distinguish between recordings and transcripts; • Specify the applicable time limits for requests; and • Reflect the operational realities of transcript availability. The Committee then considered how misconduct findings should be handled where a Respondent dies after the conclusion of proceedings, noting that current Guidance does not explicitly address this scenario. The existing operational approach was outlined: removing the individual’s details from the public “Find an Actuary” page and, if the publication period has not yet expired, retaining the full determination on the disciplinary pages for the duration of the original publication period. The Committee considered whether to formalise this approach or introduce an alternative, such as discretionary decision-making or anonymisation. The Committee agreed that the approach adopted should not override the principles of transparency, consistency, and public interest underpinning the disciplinary framework. Key points from the discussion included the public interest and purpose of publication; published determinations as a matter of historical record; consistency in applying any approach and practicalities of introducing subjective decision-making; sensitivities to family or colleagues of affected Respondents; and potential challenges in applying anonymisation as an alternative. The Committee endorsed the current operational approach. No discretionary or anonymisation-based approach was introduced and the position will be formalised within the publication guidance to ensure clarity, consistency, and ease of application going forward. **Action: A revised version of the guidance will be circulated to the Committee for final review prior to publication.**
11.	**Case Update Report** AS summarised progress made on the investigation of cases since the December 2025 meeting, as outlined in the report. JW summarised the Panels which have taken place since the last meeting and confirmed the dates of the upcoming hearings. The Committee noted the contents of the report and the updates provided.
12.	**Feedback** This paper provided the Committee with feedback received from Panel members, Referrers and Respondents since the December 2025 Committee meeting. The Committee had no questions and noted the contents of the paper.

Item	Title
13.	**Training Plan** This paper provided the Committee with an update on the status of the training plan for the Disciplinary Panel Pool. The Committee had no questions and noted the contents of the paper.
14.	**Risk Register** VS advised the Committee that no changes had been made to the Risk Register since the December 2025 meeting. The Committee noted the Register and agreed that no changes were needed
15.	**Matters to raise with Regulatory Board** No matters arising from this meeting require to be raised with the Regulatory Board.
16.	**Schedule of Guidance/Regulations** Noted.
17.	**Schedule of DC term times** Noted.
17.	**AOB** No additional items were raised.