Institute and Faculty of Actuaries

Interim Order Regulations

Disciplinary Committee

Version 1.2

1 November 2026

Interim Order Regulations

A. These Regulations shall be read alongside:

   (a) the Disciplinary Scheme of the IFoA; and

   (b) any relevant guidance published by the Disciplinary Committee.

B. Where there is any conflict or inconsistency between the Disciplinary Scheme and these Regulations, the Disciplinary Scheme shall prevail.

C. Where there is any conflict or inconsistency between these Regulations and guidance, these Regulations shall prevail.

D. With regard to the applicability of these Regulations:

   (a) Any Complaint or application for readmission to membership received by the IFoA shall be considered under the version of these Regulations in force at the time the Complaint or application for readmission to membership is received by the IFoA.

   (b) In the event these Regulations are amended after a Complaint or application for readmission to membership has been received by the IFoA:

      (i) the Respondent or Applicant may provide written consent to the IFoA for the Complaint/application for readmission to membership to be considered in accordance with the most recent version of these Regulations, otherwise

      (ii) the version of the Regulations in force at the time the Complaint or application is received shall be applied to the extent that it is possible to do so, having regard to the need to ensure the fair and just determination of the case, otherwise the most recent version of the Regulations shall apply.

E. These Regulations shall be interpreted and applied in accordance with the principles of natural justice, procedural fairness, and any applicable human rights law.

F. The Rules contained in these Regulations are inserted for convenience of reference only. They shall not be considered a part of the Regulations.

The Interim Order application

Rule 10.1 An Interim Order is an order which:

(a) imposes any condition on the Respondent's practice;

(b) suspends any Certificate held by the Respondent; or

(c) suspends the Respondent from membership of the IFoA.

Rule 10.2 The Case Manager may apply for an Interim Order at any time between the date:

(a) an Allegation has been accepted for investigation under Rule 3.5 or 3.7(a) and

(b) an Adjudication Panel has made a final determination under Rule 13.3, a Disciplinary Tribunal Panel has made a determination under Rule 15, or the Capacity for Membership Panel has imposed an order under Rule 16.

1. An application for an Interim Order under Rule 10.2 shall be prepared by the Case Manager.

2. In preparing an Interim Order application, the Case Manager may carry out any investigation and obtain any information they consider appropriate.

3. An application for an Interim Order shall include:

   (a) the Allegation(s) against the Respondent;

   (b) the terms of the proposed Interim Order; and

   (c) relevant evidence or information.

4. The Case Manager shall serve the Interim Order application on the Respondent and the Secretary.

Notice of Interim Orders Panel hearing

5. Once an Interim Order application has been received by the Secretary, the Secretary shall arrange for an Interim Orders Panel to consider the application. This shall be done in accordance with the Appointment Regulations.

6. The Secretary shall serve notice of the hearing on the Respondent and the Case Manager. Both parties shall be given a minimum of 14 days' notice of the hearing.

7. In exceptional circumstances, the Secretary may provide less than 14 days' notice of the hearing. Exceptional circumstances means where there is clear evidence to show a risk of immediate and substantial harm if the Respondent continues to practise without restriction.

8. If the Case Manager considers that exceptional circumstances exist, the Interim Order application must:

   (a) advise that they consider exceptional circumstances to exist;

   (b) provide the reasons why they consider exceptional circumstances to exist; and

   (c) provide relevant supporting evidence, if available.

9. The chair of the Interim Orders Panel shall decide whether exceptional circumstances exist. Where they decide that exceptional circumstances exist, Regulations 15 and 26 shall not apply, and the chair may determine the appropriate timeframes for:

   (a) when the Respondent is to serve written submissions on the Secretary and the Case Manager; and/or

   (b) when the Respondent is to indicate that they wish to make oral submissions at an Interim Orders Panel hearing.

General Procedure of the Interim Orders Panel

10. The Interim Orders Panel shall appoint an individual from the Pool of Legal Advisers to assist it in matters of law or procedure. Once appointed, the Legal Adviser shall be present at any hearing to give legal advice to the Interim Orders Panel. Any advice given in private must be made available to the parties and included in the record of the hearing.

11. Under Rule 22.2, the Interim Orders Panel has the power to determine its own conduct and procedure in holding hearings. The Interim Orders Panel has the discretion to give any directions, change any time limits, suspend any hearings, and/or accept any written undertakings from the Respondent. The Interim Orders Panel may depart from these Regulations in matters of procedure if it considers that there are good reasons to do so.

12. The Interim Orders Panel shall consider all documents placed before it to be authentic unless the authenticity of a document is challenged by the Respondent or the Case Manager. If there is a challenge about whether a document is authentic, the Interim Orders Panel shall consider representations from both parties. The Interim Orders Panel may then give whatever weight it thinks appropriate to the contents of the document.

13. If the Case Manager and/or the Respondent obtains additional relevant information after the notice of hearing has been served but before the Interim Orders Panel has made its determination, they may serve this additional information on the Interim Orders Panel and the other party. The Interim Orders Panel may admit the additional relevant information if it is reasonable and in the interests of justice to do so and shall give a reasonable opportunity to the other party to comment on the additional information.

Interim Orders Panel hearing

14. As a general principle an Interim Orders Panel shall consider the Interim Order application papers in private and without hearing oral submissions.

15. The Respondent may provide written submissions to the Secretary in advance of the hearing. The Respondent shall serve any written submissions on the Secretary and the Case Manager no later than seven days before the date of the hearing.

16. Any written submissions made by the Respondent under Regulation 15 should include representations about:

    (a) whether the Interim Orders Panel should impose an Interim Order;

    (b) the terms of the proposed Interim Order; and/or

    (c) how long any Interim Order should be in place.

17. The Interim Orders Panel may direct a party to provide further information to assist their decision.

Rule 10.3	In considering an Interim Order application, the Interim Orders Panel can either: (a) dismiss the application; or (b) make an Interim Order.
Rule 10.4	The Interim Orders Panel shall impose an Interim Order if a majority of the Interim Orders Panel members are satisfied that the criteria set out in the Regulations have been established.

18. Where the Respondent fails to respond to the notice of the hearing served under Regulation 6, the Interim Orders Panel shall decide whether it is in the interests of justice to proceed without any representations from the Respondent.

19. It is in the interests of justice to proceed without any representations from the Respondent if the Interim Orders Panel is satisfied that:

    (a) all reasonable steps have been taken to serve notice of the time and date of the hearing on the Respondent, in accordance with Regulation 6; and

    (b) it is fair to do so, taking into account the circumstances of the case.

20. In considering whether it is fair to do so, the Interim Orders Panel must have regard to the protection of the public.

21. Where the Interim Orders Panel has decided that a hearing should take place without representations from the Respondent, this must be clearly recorded in the Interim Orders Panel's determination. The determination must contain a full explanation as to why the Interim Orders Panel proceeded without submissions from the Respondent.

22. If the Interim Orders Panel decides not to proceed without any representations from the Respondent, the Interim Orders Panel shall suspend the hearing and set a later date for the hearing. In setting the later date, the Interim Orders Panel shall have regard to:

    (a) the length of time required for the Respondent to make representations; and

    (b) the need for public protection

23. When considering an Interim Order under Rule 10.3, the Interim Orders Panel shall decide, by simple majority:

    (a) whether there is Prima Facie evidence to support the Allegation(s) against the Respondent;

(b) whether an Interim Order should be imposed; and

(c) if an Interim Order is to be imposed, the terms and duration of the Interim Order.

24. In deciding whether an Interim Order should be imposed and, if so, its terms and duration, the Interim Orders Panel shall take into account:

(a) the need to protect members of the public, taking into consideration the seriousness of the alleged Misconduct and the likelihood of further alleged Misconduct occurring; and

(b) the effect of the Interim Order on the Respondent.

25. The Interim Orders Panel shall give written reasons for its determination.

Oral hearing of the Interim Orders Panel

26. If the Respondent wishes to make oral submissions they shall tell the Secretary no later than seven days prior to the hearing.

27. The Respondent may request a public hearing of the Interim Orders Panel. If there is a public hearing, the Interim Orders Panel may still decide to hold part of the hearing in private if there is good reason to do so. The Interim Orders Panel may exclude any person from the hearing if they are disrupting the proceedings.

28. The IFoA and the Respondent may be legally represented at an Interim Orders Panel hearing. The Respondent may also be represented by a Member or any other person.

29. If the Respondent is to make oral submissions at the Interim Orders Panel hearing, the order of proceedings at the hearing shall be as follows, unless the Panel decides otherwise:

(a) The IFoA shall:

(i) inform the Interim Orders Panel of the background to the case, including why it is seeking an interim order;

(ii) inform the Interim Orders Panel of the proposed terms and duration of the Interim Order and why it considers this to be appropriate; and

(iii) direct the Interim Orders Panel to the relevant evidence, which may include calling witnesses or presenting expert evidence;

(b) The Respondent may then provide representations and any relevant evidence, which may include calling witnesses or presenting expert evidence, about whether an Interim Order should be imposed, the terms of the Interim Order, and/or how long any Interim Order should be;

(c) The Interim Orders Panel may question the parties or any witnesses called by the parties;

(d) Either party may cross examine the other party's witnesses;

(e) The Interim Orders Panel may direct a party to provide further information to assist their decision.

30. The Interim Orders Panel shall make their decision as set out in Regulation 23. In deciding whether an Interim Order should be imposed and, if so, its terms and duration, the Interim Orders Panel shall take into account the factors set out at Regulation 24.

31. The Interim Orders Panel shall provide a written determination.

32. If there is a dispute about the facts of any matter, the IFoA shall bear the burden of proving the facts on the balance of probabilities.

Oral Hearing - Proceeding in the Respondent's Absence

33. If the Respondent indicates that they wish to make oral submissions under Regulation 26 but they fail to attend, the Interim Orders Panel shall decide whether it is in the interests of justice to proceed in the Respondent's absence.

34. It is in the interests of justice to proceed in the Respondent's absence if the Interim Orders Panel is satisfied that:

    (a) all reasonable steps have been taken to serve notice of the time and date of the hearing on the Respondent, in accordance with Regulations 6 and 7; and

    (b) it is fair to do so, taking into account the circumstances of the case.

35. In considering whether it is fair to do so, the Interim Orders Panel must have regard to the protection of the public.

36. The Interim Orders Panel may suspend hearings if there is a good reason to do so. Examples of this may include the Respondent's ill health or a serious injury.

37. Where the Interim Orders Panel has decided that a hearing should take place in the Respondent's absence, this must be clearly recorded in the Panel's determination. The determination must contain a full explanation as to why the Interim Orders Panel proceeded in the Respondent's absence.

38. If the Interim Orders Panel decides not to proceed without the Respondent, the Panel shall suspend the hearing and set a later date for the hearing. In setting the later date, the Interim Orders Panel shall have regard to:

    (a) the reason why the Respondent failed to attend (if known);

    (b) the length of time required before the Respondent is available to attend in future; and

    (c) the need for public protection.

The Interim Order Panel's determination

39. The Interim Orders Panel's determination shall be effective on the day it is made. A copy of the determination shall be served on the Respondent and the Case Manager as soon as is reasonable.

40. The IFoA shall publicise the details of the Interim Orders Panel's determination as soon as is reasonable, subject to any conditions on publication imposed by the Interim Orders Panel in its determination. This shall be in accordance with any relevant guidance issued by the Disciplinary Committee.

Rule 10.5 Unless an Interim Order is renewed by a further hearing of an Interim Orders Panel, it will no longer have effect:

(a) after six months or when any period set out in the Interim Order expires, whichever is shorter;

(b) if it is amended or cancelled by an Interim Orders Panel under Rule 10.6 or by a Disciplinary Tribunal Panel or Capacity for Membership Panel under Rule 10.8;

(c) once an Adjudication Panel has made a determination to dismiss the case under Rule 13.3;

(d) once the Respondent has accepted an Adjudication Panel invitation under Rule 13;

(e) once a Disciplinary Tribunal Panel has made a determination under Rule 15; or

(f) once a Capacity for Membership Panel has made a determination under Rule 16.

Review of an Interim Order imposed

Rule 10.6 Where an Interim Orders Panel has imposed an Interim Order on the Respondent, the Case Manager or the Respondent may, at any time, apply to the Interim Orders Panel, to:

(a) renew an Interim Order which would otherwise expire;

(b) make an alternative Interim Order; or

(c) amend or cancel an Interim Order.

41. The Respondent or the Case Manager may apply to the Secretary, under Rule 10.6, for an Interim Orders Panel to review any Interim Order before its expiry if;

(a) there is significant new information available that is relevant to the order imposed; or

(b) there has been a substantial change in circumstances which justifies an early review of the Interim Order; or

(c) there is evidence that the Respondent has failed to comply with the Interim Order terms.

42. At a review hearing of the Interim Orders Panel, the Panel shall consider, using the factors set out at Regulation 24:

(a) whether to renew an Interim Order where the Interim Order is due to expire; and/or

(b) whether to make an alternative Interim Order; and/or

(c) whether to amend or cancel the Interim Order.

Interim Orders by other Panels

Rule 10.7 A Disciplinary Tribunal Panel or Capacity for Membership Panel may also impose an Interim Order.

43. Under Rule 10.7 an Interim Order may be imposed by a Disciplinary Tribunal Panel or Capacity for Membership Panel following an application by the IFoA or by the panel acting on its own.

44. A Disciplinary Tribunal Panel or Capacity for Membership Panel shall not be subject to the requirements to serve notice of the Interim Orders hearing under Regulation 6.

45. Except for the provision in Regulation 44, all decisions about whether an Interim Order should be imposed shall be made in accordance with these Regulations.

Rule 10.8 Where a Disciplinary Tribunal Panel or Capacity for Membership Panel has imposed an Interim Order on the Respondent, or where that Panel is considering a case where an Interim Orders Panel has previously imposed an Interim Order, the Case Manager or the Respondent may apply to that Panel to:

(a) renew an Interim Order which would otherwise expire;

(b) make an alternative Interim Order or

(c) amend or cancel an Interim Order.

46. The Respondent or the Case Manager may apply to the Secretary for a review of an Interim Order, before its expiry, under Rule 10.8. The conditions at Regulation 41 will apply.

47. The Disciplinary Tribunal Panel or a Capacity for Membership Panel will consider an application under Rule 10.8 at a review hearing.

48. At a review hearing of the Disciplinary Tribunal Panel or Capacity for Membership Panel, the Panel shall consider, using the factors set out at Regulation 24:

(a) whether to renew an Interim Order where it is due to expire; and/or

(b) whether to make an alternative Interim Order; and/or

(c) whether to amend or cancel the Interim Order.

Minor amendments to Interim Orders

49. If both the Case Manager and the Respondent agree, they may apply to the Secretary to make minor amendments to an existing Interim Order. The Secretary may make such minor amendments, subject to the approval of the Head of Legal Services. Minor amendments mean administrative changes to an Interim Order, which would not have a material impact on its intended effect.

Costs

Rule 10.9	The Interim Orders Panel shall not make an order for costs to be paid by any party to an Interim Order application.

50. Where an Allegation giving rise to an Interim Order application is later determined by a Disciplinary Tribunal Panel, the costs incurred at the Interim Order stage may be considered by that Disciplinary Tribunal Panel when making any order for costs under Rule 15.13.

Failure to comply with determination of Interim Orders Panel

51. Any failure or partial failure by the Respondent to comply with the Interim Order shall be considered by the Head of Disciplinary Investigations as to whether a further Allegation of Misconduct should be brought under Rule 5.

Appeal against Determination of Interim Orders Panel

Rule 10.10	The Respondent may appeal the making, amendment or renewal of an Interim Order by giving notice to the Appeals Assessor under Rule 18.
Rule 10.11	The IFoA may appeal any Interim Order determination by giving notice to the Appeals Assessor under Rule 18.

52. The notice of appeal, under Rule 10.10 or Rule 10.11 must be served on the Appeals Assessor, via the Secretary, within 14 days of the date the Interim Order Panel's written determination was made.

53. The appeal of the determination of the Interim Orders Panel shall proceed in accordance with Rule 18 and the Appeals Regulations.

54. The determination of the Interim Orders Panel remains in force until the appeal is decided.

Definitions

Term	Meaning
Adjudication Panel	A panel referred to in Rule 13 of this Scheme.
Allegation	A Complaint that has been accepted for investigation under this Scheme under Rule 3, or which has been raised, under Rule 5.7, following a Respondent's failure to comply with their duties under Rule 5.
Appeals Assessor	An assessor referred to in Rule 18 of this Scheme.
Appointments Regulations	Regulations issued by the Disciplinary Committee setting out the process for making appointments under this Scheme.
Bye-laws	The Bye-laws of the IFoA from time to time.
Capacity for Membership Panel	A panel referred to in Rule 16 of this Scheme.
Certificate	Any practising certificate issued by the IFoA.
Disciplinary Committee	The Disciplinary Committee of the IFoA or its successor.
Disciplinary Tribunal Panel	A panel referred to in Rule 15 of this Scheme.
Head of Disciplinary Investigations	The person appointed as Head of the Disciplinary Investigations Team of the IFoA, and any person nominated by the Head of the Disciplinary Investigations Team.
Head of Legal Services	The person appointed as Head of the Legal Services of the IFoA, and any person nominated by the Head of Legal Services.
IFoA	The Institute and Faculty of Actuaries.
Interim Order	An order as defined by Rule 10.1 of this Scheme
Interim Orders Panel	A panel referred to in Rule 10 of this Scheme.
Member	A member of the IFoA of any class other than an Honorary Fellow or an Affiliate.
Misconduct	The meaning under Rule 2 of this Scheme.
Pool of Legal Advisers	A pool of Legal Advisers appointed by the Regulatory Appointments Committee to provide independent legal advisory support to panels.
Prima Facie	Upon initial examination there appears to be sufficient evidence.
Regulations	Any regulations issued by the Disciplinary Committee.

Term	Meaning
Regulatory Appointments Committee	The Regulatory Appointments Committee of the IFoA or any successor body.
Rule	A rule of this Scheme.
Rules of the IFoA	The rules of the IFoA from time to time.
Scheme	The Disciplinary Scheme made under Bye-law 59 and forming part of the Rules of the IFoA.
Secretary	The Judicial Committees Secretary of the IFoA.

Document control

Version	Date of publication	Overview
1.0	1 August 2023	To support Disciplinary Scheme effective 1 August 2023.
1.1	1 November 2023	To clarify the version of the Regulations that will apply to a Complaint or application.
1.2	1 November 2026	To clarify that a Legal Adviser shall be pointed and to reorganise and renumber certain Regulations.



Institute and Faculty of Actuaries

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