

# Formal review of IfA's disciplinary and complaints procedures in 2013

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**The IfA Disciplinary Regulations and Registered Organisation guidance required a regular review to be undertaken by an external auditor. This review includes the completed allegations dealt with under IfA disciplinary procedures and Registered Organisation's complaints procedures. Alison Richmond, Chief Executive of ICON, carried out a review of in July 2014 of the files and reports of all completed allegations processed in 2013 and since the last audit. The annual review is essential in determining how processes are working and in identifying potential improvements.**

During 2013 there was an increase in the number of enquiries into how complaints and allegations could be made. An increase was also seen in the receipt of information that led to informal enquiries of Registered Organisations without a formal complaint being received. In total there were 18 of these instances, which included enquiries regarding adverts received for JIS or ones posted on other websites which were potentially advertising jobs at rates below recommended salary minima (4), the inappropriate use of volunteers on commercial sites (2), and incorrect accreditation being used on a website (1). There were also queries about how to raise an allegation or complaint (6), whether organisations or individuals were Registered or accredited members (1), and whether a situation would be suitable for an allegation or complaint (3). In one of these cases there was the potential for an allegation to be made under the disciplinary regulations but the individual decided to give the member another opportunity to rectify the situation having received advice from IfA. The matter was resolved without a formal complaint being raised. There were also three cases that were ongoing at the time of the review.

Three cases were heard and completed during 2013. Under the disciplinary regulations (for individual members) there were two cases to review, and under the Registered Organisations complaints procedures there was one.

The report noted that the processes were 'robust' and the reviewer was impressed with 'the care, consideration and rigour exercised in carrying them out'. Recommendations were made regarding clarification of timeframes for those involved, tightening of record keeping, and offering arbitration as standard. The report also

recommended clarification of a couple of areas in the Regulations. These will be reviewed by the Board of Directors. A review of CfA's disciplinary and complaints cases undertaken in 2014 will take place later this year.

## Outcome of complaints raised against Registered Organisations 2014

In 2014 two formal complaints against Registered Organisations have been fully concluded and the outcomes of both are provided below.

## Outcome of a complaint against a Registered Organisation 1

A complaint was received against a Registered Organisation regarding work carried out on a site in Hampshire. The matter was investigated by a Complaints Panel which concluded that the practices of the organisation on the matters raised had been 'below standard and did not constitute good practice'. The failings were found to not be sufficiently serious to justify a sanction above that of advisory recommendations or conditions.

The Complaints panel's decision was: 'To continue registration with imposed recommendations for improvement to be implemented or considered'. The organisation has six months to implement the imposed recommendations.

## Outcome of a complaint against a Registered Organisation 2

A complaint was received against a Registered Organisation regarding current practice. The matter was investigated by a Complaints Panel which concluded that the practices of the organisation on the matters raised were 'below standard and did not constitute good practice'. The Panel felt that the failings were not sufficiently serious to justify a sanction above that of advisory recommendations or conditions.

The Complaints panel's decision was: 'To continue registration with imposed recommendations for improvement to be implemented or considered'. The organisation has until the end of its current registration process to implement the imposed recommendations.

*For information regarding CfA complaints process for Registered Organisations or the Disciplinary process for individual members go to [www.archaeologists.net/regulation/complaints](http://www.archaeologists.net/regulation/complaints).*