

# **DISCIPLINARY & COMPLAINTS OFFICER JOB DESCRIPTION & TERMS OF REFERENCE**

## **GENERAL TERMS**

- To act on matters delegated by the board of directors.
- To liaise and consult with other committees where necessary.
- To contribute to the IFA's Business Plan.
- To consider safeguarding and equalities implications when undertaking all committee functions.

## **SPECIFICATIONS**

Relevant experience in disciplinary hearings and dealing with complaints

## **QUORUM**

There must be no less than three members present or in agreeance for a motion to be carried. For this particular committee if any of the committee members cannot be part of the decision making process due to conflict of interest the board of directors will engage members either from other committees (dependent on the nature of the complaint) or recruit additional independent persons as appropriate. This will be judged on a case by case basis.

## **MEETING**

Meetings will be held as frequent as required. The chair of the committee will determine if this is to take place physically or held by communicating via another method.

## **REMIT & POWERS**

The committee will report their findings to be approved by the board of directors.

## **DISCIPLINARY & COMPLAINTS**

- To consider complaints made against members, training providers or employees.
- To investigate and critically examine the evidence provided as per the IFA's published Complaints Policy.
- To ensure that investigations and/or hearings are conducted fairly and objectively.
- To report findings of an investigation and drawn conclusions.
- To recommend sanctions/interim measurers where appropriate.
- To review the Disciplinary Procedure and Sanctions Policy and other related policies including Malpractice and Maladministration Policy, Cheating and Plagiarism Policy and Disciplinary Procedure and make recommendations to the board of directors for improvement.
- To make recommendations to the board as may be required to consider and adjudicate, agree and or impose further conditions of membership and/or applied to Centre's.
- To consider and manage appeals ensuring those involved in the original decision are not involved in the decision making process of the appeal.