

Annual review of allegations of misconduct made against members



Alex Llewellyn MCIfA (4753), Head of Governance and Finance



All Registered Organisations and accredited members of ClfA have signed up to adhere to our Code of conduct and to carry out work in accordance with the regulations and Standards and guidance, and are accountable for their actions. Enquiries into a member’s actions or formal allegations of misconduct can be lodged with ClfA and we will investigate.



Between December 2017, when we last reported in *The Archaeologist*, and November 2018 the Institute has received

- two formal allegations against individual members of ClfA
- one formal complaint against Registered Organisations
- sixteen informal enquiries or pieces of correspondence

A total of 109 hours of staff time was invested in dealing with complaints, a total cost of £4,356. Fees from our legal advisors who assist with potential allegations of misconduct that go forward for further investigation after initial assessment amounted to £23,442.

In accordance with our regulations, a review of our systems for dealing with allegations and complaints was carried out by Michael Nelles, Membership Manager at Icon, in September 2018. Michael reviewed four cases

against individual members that had been completed between July 2016 and October 2017 when the last review was carried out.

The key points raised by the review in terms of where ClfA can make improvements are

- **timescales for action.** As identified in previous reviews, the current process is complex and time-consuming, which is unkind to protagonists and has caused reputational damage for ClfA.
- **documentation and record keeping.** The Institute does not store complete files in either hard copy or electronic form at the ClfA office, as they are managed and held by the legal advisors. As the review took place in the office not all papers were available to the reviewer.
- **number of individuals involved.** The regulations call for as many as 30 individuals to be involved in the process at various stages, which increases scheduling and resource challenges that hinder progress towards a conclusion.

The recommendations have been reported to the Board of Directors. The Board had already commissioned revised, streamlined regulations to address these issues: a draft has been prepared by staff and is being reviewed by the Institute’s legal advisors. It has also advised that the next review be conducted at the lawyers’ premises so that a complete set of records is available to the reviewer.

The Board would like to thank Michael for carrying out this review, which confirmed its analysis of pre-existing problems and lends support to the reforms presently in hand.