

# REVIEW OF PROFESSIONAL CONDUCT CASES PROCEDURE

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

All Registered Organisations and accredited members of ClfA have signed up to adhere to our *Code of conduct*, to carry out work in accordance with the regulations and Standards, and to give due regard to guidance and policy statements. They are accountable for their actions under the professional conduct process, which investigates allegations of misconduct.

In May 2019 ClfA introduced revised professional conduct regulations in response to findings from reviews carried out by independent external auditors of completed professional conduct allegations. Since the beginning of 2019, the Institute has received

- 11 formal allegations against individual members of ClfA
- 5 formal allegations against Registered Organisations
- 50 informal enquiries or pieces of correspondence

Under the revised regulations, the Institute is normally expected to arrange for a review of completed cases

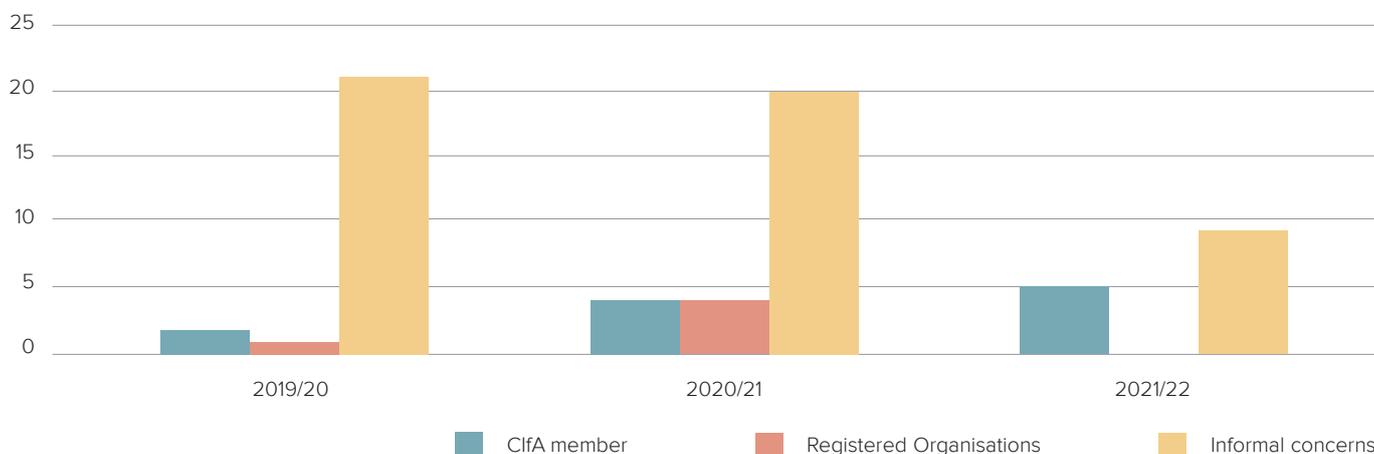
approximately every two years by a lay person (who is not a member of the Institute). In April 2022 Sara Crofts, Chief Executive of the Institute of Conservation (Icon) carried out a review of a selection of completed professional conduct cases and prepared a report, which was presented to the Board of Directors at their meeting on 12 July.

Overall, Sara's view was that the processes in the Professional Conduct Regs were followed appropriately:

*'I personally would feel fairly treated if I ended up on the end of a complaint under your regulations'*

She made some general observations for improvement which relate to housekeeping and consistency in the use of terminology relevant to the regulations, and to providing more guidance to potential complainants on whether their allegation is covered by the regulations.

The Board would like to thank Sara for carrying out this review. It has given careful consideration to the recommendations and is implementing the majority.



*Number of formal and informal allegations received in the last three years*