

Annual review of allegations of misconduct made against members and Registered Organisations

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



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.

In the past twelve months (March 2015 to February 2016) the Institute received

- four formal allegations against individual members of ClfA, one of which was dismissed at initial assessment stage and three of which are currently ongoing
- three formal complaints against Registered Organisations, one which was withdrawn, and two of which were dismissed at initial assessment
- eleven non-formal enquiries or pieces of correspondence

In addition, three cases against individual members and two cases against Registered Organisations ongoing from previous years were completed.

A total of 227 hours of staff time was invested in dealing with complaints, a total cost of £5,339. Fees from our legal advisors who assist with potential allegations of misconduct that go forward for further investigation after initial assessment amounted to £21,152, the majority of which related to one particular case.

In accordance with our regulations, a review of our systems for dealing with allegations and complaints was carried out by Alison Richmond, Chief Executive of ICON, in December 2015. Alison reviewed cases which had commenced between May 2013 and July 2015 and reviewed the documentation of four complaints, making reference to the *Code of conduct*, Disciplinary regulations (relating to IfA) and *Regulations for professional conduct*.

Due to the amount of paperwork involved in one particular professional conduct case,

there was insufficient time to complete a review of the systems for complaints against Registered Organisations, so this process will be reported on once complete. The recommendations to ClfA for improvement were

- ensure that all relevant email correspondence is kept on file
- ensure that all reasons for missing any deadlines set in the regulations are recorded and communicated to the parties concerned
- ensure all reports and correspondence are dated
- include a checklist of actions at the beginning of each file to ensure that all stages are completed

The recommendations will be implemented in the handling of future allegations.

Announcement of the result of a professional conduct investigation

The Institute's *Regulations for professional conduct* set out the procedure by which the Institute determines whether any allegation requires formal investigation, and if so, how that investigation will be carried out. If formal proceedings take place, each party is given an opportunity to present his/her case or to defend himself/herself against the allegation. The procedures also allow for representation and appeal against the findings and any sanctions.

If a breach of the *Code of conduct* is found, resulting in a reprimand, suspension or expulsion, the Institute will publish the name of the member and the details of the sanction, unless there are exceptional compassionate grounds for not doing so.

Following receipt of an alleged breach of the *Code of conduct* by Anthony Hanna (PCIfA 4993), a Disciplinary panel was convened to investigate. The panel found there to be a significant breach of the

Code and a Sanctions panel was appointed to determine what sanction should be imposed. The decision was to issue the following formal reprimand:

ClfA member Anthony Hanna has committed a clear breach of ClfA's Code of conduct by misrepresenting his qualifications on archaeological documents that he prepared in 2007 and 2014. Mr Hanna improperly used the post-nominal title 'AlfA' at times where he was only accredited to 'PlfA' grade. ClfA is a professional organisation with validated grades; it finds misuse of its grades unacceptable and believes that this conduct risks bringing the profession into disrepute. ClfA strongly rebukes Mr Hanna and expects him to demonstrate full compliance with the Code of conduct moving forwards.

A copy of the Institute's *Regulations for professional conduct* is on the ClfA website archaeologists.net/codes/ifa