

Registered Organisation review



Review of ClfA's handling of complaints against Registered Organisations

TA 98 reported on the review of allegations of misconduct made against ClfA members. Due to the amount of information associated with these cases the review of complaints against Registered Organisations had to be deferred to a later date. This has now been completed by Gerry Cawdeary, a self-employed consultant with recent experience of dealing with complaints made to the Financial Conduct Authority.

Gerry reviewed four cases, which he found had been investigated in accordance with regulations and supporting procedure, and which seemed to be fair and thorough. Following the review, his recommendations to ClfA are to

- consider whether there is merit for any change to the procedure relating to timescales
- consider whether it might encourage (but not require) assessors to contact the Registered Organisation after receipt of a complaint, rather than waiting for the outcome of the initial assessment
- consider whether to draft a fast-track process, or to use the existing procedures more vigorously to dismiss clear 'no case to answer' complaints
- consider whether the advantages of implementing a simple diarising system might outweigh the set-up costs

The report has been reviewed by the Board of Directors and the recommendations will be implemented, where agreed, in the handling of future allegations.

Monitoring compliance with ClfA standards

In addition to dealing with complaints against Registered Organisations, we also review the standards of our organisations through the annual registration process. Over the past year ClfA has carried out 26 inspections of organisations (comprising four new applicants). They resulted in five conditions of registration to be implemented within a given time frame, 21 recommendations to be implemented within a suggested time frame, and 18 general recommendations for improvement. Only two organisations were registered with no recommendations and/or conditions. The conditions primarily focus on the development and implementation of organisation-wide training plans, in addition to the provision of health and safety training and/or access to advice. The recommendations covered a range of issues including staff training suggestions, the consistent reference to ClfA standards and guidance in reports, the production of specific policy documents and the encouragement of ClfA membership amongst staff members. The 18 conditions of registration imposed upon organisations during the previous inspection year were reviewed and discharged by the Registration Committee (Organisations).