

# Minutes

**Meeting:** Appointments Board  
**Location:** Virtual meeting - Zoom  
**Date:** 22 April 2021, 10.00 am – 13:05 pm

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## PRESENT:

The Chair (Nora Nanayakkara), Bill Matthews, Antony Townsend and James Walker.

## IN ATTENDANCE:

Director – Professional Conduct (Joe Johnson), Director – Regulatory Relations (Sundeep Takwani), Head of Adjudication (Adrianna McDonnell), Operations Manager – Standards Team (Tamara Etmuss-Noble) and Regulation Officer (Jo Burns).

## APOLOGIES:

No apologies for absence were received.

### 1. MINUTES:

The Board approved the minutes of the meeting held on 4 February 2021.

### 2. CONFLICTS OF INTEREST

One potential conflict of interest was received from Mr Bill Matthews. This conflict was the same one that was declared at the Appointments Board of 4 February 2021. Mr Matthews confirmed that there has been no change in the nature of the disclosure. The Board agreed that Mr Matthews could participate in the discussions relating to the Accountant Panel Member 1, but that Mr Matthews would not assess this panel member.

All other members of the Board confirmed that they were not aware of any potential conflicts of interest and/or duty required to be notified to ACCA.

### 3. CHAIR'S REPORT

The Board received a verbal update from the Chair on the last Regulatory Board meeting held on 11 February 2021.

#### 4. COMMITTEE MEMBER PERFORMANCE

The Board noted panel member performance and agreed to assess Audit Monitoring Committee (AMC) panel members at a proportionate level.

#### 5. REVIEW OF APPOINTMENTS BOARD ASSESSMENT FORMS

##### 5.1 Regulatory Assessor Assessment Forms

The Board discussed the Regulatory Assessor Assessment Forms (RAAF) and agreed that to ensure consistency, the RAAF should be based on the Disciplinary Assessor Assessment Form (DAAF), which the Board feel is more straightforward.

It was also agreed by the Board, that a session on the role and reporting requirements of the Regulatory Assessor (RA), would be beneficial to provide an overview of the process.

##### 5.2 Disciplinary Assessor Assessment Forms

The Board approved the Disciplinary Assessor Assessment Forms.

#### 6. APPOINTMENT BOARD ASSESSMENT OF CONSENT ORDERS REVIEW

The Board requested support from ACCA to assist in its attempt to conduct assessments of the consent order review reports. ACCA provided responses to cover the following issues:

- Whether the number of consent order assessments undertaken is proportionate.
- Clarity around the roles of the Chair and Legal Advisers in dealing with consent orders.
- Feedback on the fitness of purpose of the consent order form.

The Board was content with the responses to the queries raised from ACCA along with the fitness of purpose of the consent order form.

#### 7. RESOURCING

##### 7.1 Contracts Due to Expire

The Board discussed the contracts that are due to expire and was advised by ACCA that there is expected to be an increase in cases into Professional Conduct, which is arising from issues relating to remote invigilation.

The Board agreed that the best approach would be an Expression of Interest process to extend contracts.

##### 7.2 Contracts Due to Be Renewed

The Board discussed the contract to be renewed for Accountant Panel Member 1 and agreed not to renew the contract.

### **7.3 Contract Extensions for Panel Members Whose Hearings Have Been Adjourned**

The Board agreed that there would be no objection to extending the contracts if hearings are adjourned again.

### **7.4 To Note the Updated Resource Plan**

The Board noted the updated resource plan.

## **8. RECRUITMENT**

### **AMC Lay Panel Member and Disciplinary Assessor Recruitment**

The Board noted the paper received and confirmed that it had no questions. It also noted that five people had attended the AMC Lay Panel Member drop-in sessions and the deadline for expressing an interest is 6 May 2021.

Mr James Walker was nominated to represent the Board on and support the AMC lay panel member expressions of interest process and Mrs Nora Nanayakkara and Mr Bill Matthews were nominated to do the same for the Disciplinary Assessor recruitment.

The Board noted that a review of Disciplinary Assessor fees is to be undertaken before the roles can be advertised.

## **9. OPERATIONAL PERFORMANCE**

The Board noted the Operational Performance paper and that feedback had improved since the last Appointments Board, but that the return from Legal Advisers was still low.

## **10. DATA SECURITY**

The Board noted the Data Security Policy and Declaration for Panel Members paper.

## **11. PERFORMANCE DATA**

The Board noted the presentation on statistical analysis of hearings by the Head of Adjudication.

## **12. EQUALITY AND DIVERSITY DATA**

The Board noted the paper on Equality and Diversity Data and noted that this exercise will be repeated on an annual basis.

## **13. COMMITTEE MEMBER COMMUNICATIONS**

The Board noted the communications from the Board to be included in the next Panel member and Disciplinary Assessor bulletin:

Topics agreed were as follows:

- Expectations of Panel members when drafting determinations

- Availability of ACCA guidance and expectations of Panel Members in applying it.

#### **14. DATA PROTECTION**

The Board agreed a new password for protecting sensitive documents.

#### **15. DATES FOR FUTURE MEETING**

The Board noted the future meeting dates of the Appointments Board in the Council year 2020 - 2021:

- 8 July 2021
- 4 November 2021