

COMPLAINT PROCESS SUMMARY

Introduction

The Chartered Professional Accountants of Prince Edward Island (“CPA Prince Edward Island”) oversees a comprehensive complaints and discipline process to determine if its Members have breached their professional obligations or are unfit for practice (the “Complaint Process”).

CPA Prince Edward Island’s Registrar administers the Complaint Process.

The following statutes, By-Laws, and other documents are relevant to the Complaint Process and are all available on our website:

1. Chartered Professional Accountants and Public Accounting Act, 2015 (“the Act”);
2. Chartered Professional Accountants and Public Accounting Act General Regulations;
3. Chartered Professional Accountants of Prince Edward Island By-Laws; and
4. Chartered Professional Accountants of Prince Edward Island CPA Code of Professional Conduct.

This Complaint Process Summary is an overview and is not a substitute for the information in the above-noted documents and is not intended to be legal advice.

Investigation Committee:

The Investigation Committee, which will receive this matter, is comprised of 3 members. The Committee Members will certify prior to undertaking their work that they are not in a conflict of interest and that there is nothing preventing them from fairly addressing this matter. They will also execute a Confidentiality Agreement and Conflict of Interest Declaration.

As an added safeguard, the Complainant and Respondent are informed as to the composition of the Investigation Committee.

The Investigation Committee shall consider all complaints referred to it, and may do one or a combination of things pursuant to s. 59 of the Act.

- a. dismiss the complaint, if in the opinion of the investigation committee
 - (i) the allegations are frivolous or vexatious or without merit, or
 - (ii) there is insufficient evidence to support the allegations;
- b. order the respondent to undergo additional education or training;
- c. order the respondent to participate in counselling or a rehabilitative treatment program;

- d. make an order reprimanding the respondent;
- e. make an order imposing terms and conditions on the registration of the respondent or a license held by the respondent;
- f. make an order suspending the registration of the respondent or a license held by the respondent for a specified period of time or until the occurrence of a specified future event;
- g. make an order cancelling the registration of the respondent or a license held by the respondent;
- h. make an order requiring the respondent to pay all or part of the costs incurred by the discipline committee to conduct the hearing;
- i. make an order imposing a fine on the respondent in an amount permitted by the regulations;
- j. make an order imposing any other sanction that the committee considers to be appropriate.

Respondent's Reply:

On receiving the Complaint by CPA Prince Edward Island, the matter is forwarded to the Member and that individual is provided 15 days to make a written reply and provide relevant documents and information.

Deliberation Generally by Documents Only:

The Investigation Committee is in charge of its own procedure and will determine if and when it would seek any "in person" meetings with the Respondent or Complainant.

Investigations:

When appropriate, the Investigation Committee may request the services of an Investigator to prepare a report regarding a Complaint. If the Committee appoints an Investigator, the Complainant and Respondent will be informed and provided with information regarding that process. If an Investigator is not appointed, the Investigation Committee itself may carry out the investigation.

Form of Decision:

Decisions of the Investigation Committee will be in writing and communicated to the Registrar who provides copies thereof to the Complainant and Respondent and the Board of CPA Prince Edward Island.