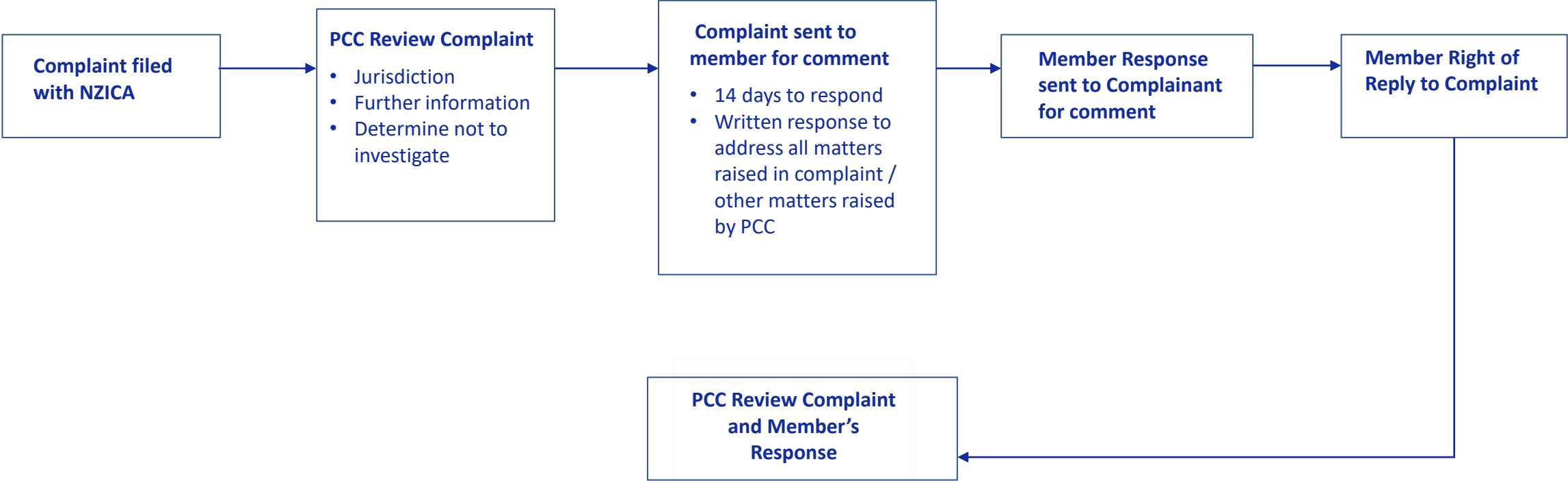
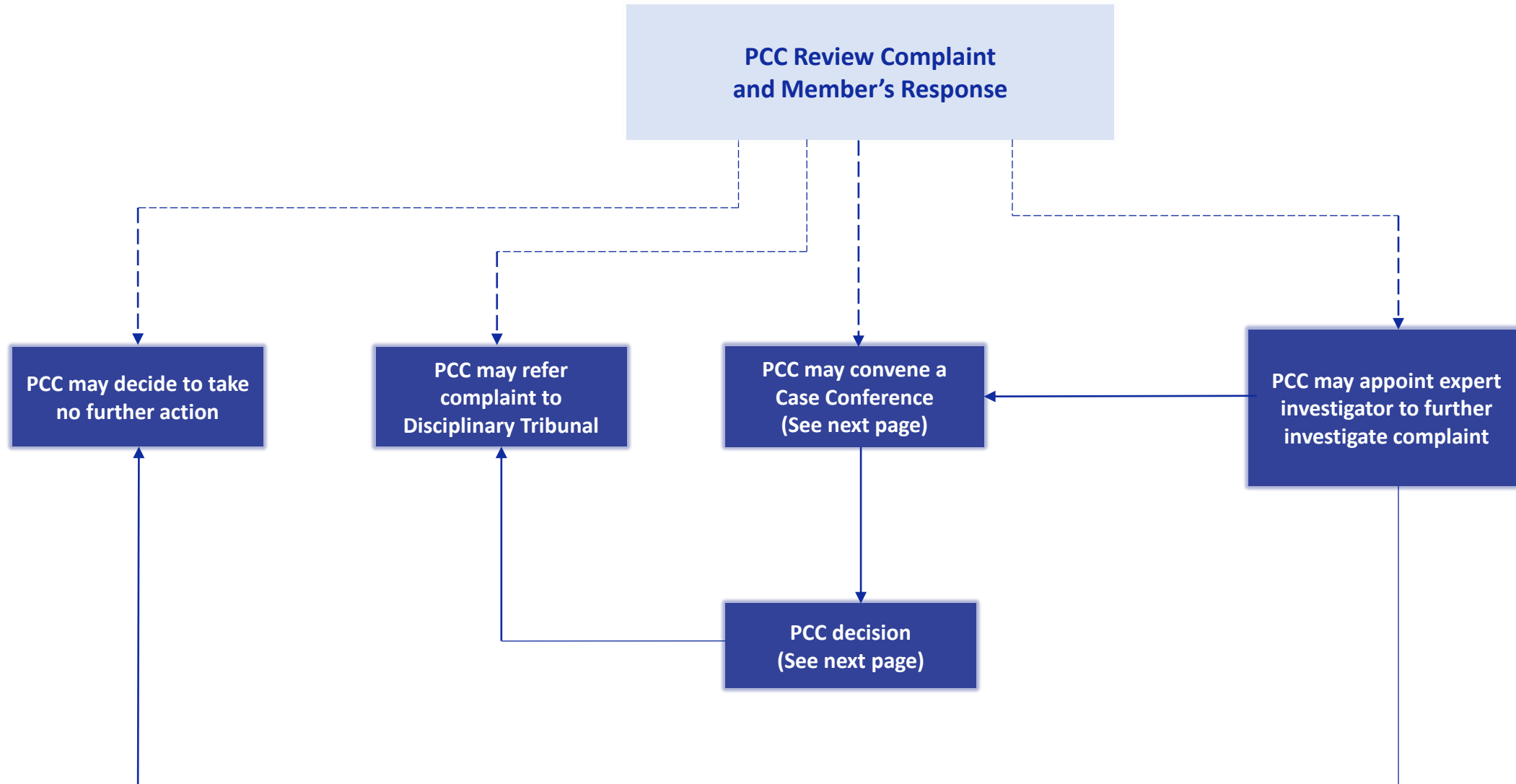


NZICA Disciplinary Complaints Process



Options available to Professional Conduct Committee



Powers Available to Professional Conduct Committee and Disciplinary Tribunal

PCC may refer
complaint to
Disciplinary Tribunal

PCC may convene a Case
Conference

- Not open to public
- Witnesses don't attend
- Support people/
solicitor can't speak
- Typically 90 minutes

Disciplinary Tribunal Powers

- Remove member from Register.
- Suspension for up to five years.
- Monetary Penalties or Costs.
- Cancellation or Suspension from Public Practice.
- Investigation/Review of practice.
- Professional Development for Member.
- Censure, reprimand or severe reprimand.
- Cancellation, suspension or variation of audit license under Auditor Regulation Act.

PCC Powers

- Caution the Member.
- Convene a Case Management Conference.
- Refer the Complaint to the Disciplinary Tribunal for Hearing/Interim Suspension.
- Adjourn the Complaint for More Information or Appoint an External Investigator.
- Order Member to Pay Costs.
- Offer Sanctions by consent including:
 - Reprimand or Severe Reprimand.
 - Fine up to \$25,000/Costs to NZICA or Complainant.
 - Professional Development.
 - Publication of Decision.
- Require Quality or Practice Review to be undertaken.