

## INFORMATION – FOR MAKING A COMPLAINT ABOUT A MEMBER OF CPA AUSTRALIA LTD

Members of CPA Australia Ltd (“CPA Australia”) must comply with a wide range of professional, ethical and legislative requirements.

In the event that you feel that a member has breached their requirements and you have attempted to solve the issue with the member, you may lodge a formal complaint. CPA Australia views complaints seriously and therefore welcomes accurate information.

CPA Australia is unable to investigate a complaint for a matter that occurred more than five years prior to the date of the complaint or a complaint that is unsupported on the available evidence.

Please note that CPA Australia is not in a position to offer a remedy to you as the process cannot award damages or restitution of property, it is strictly limited to the disciplining of a Member.

CPA Australia must not be used as an influence against the Member to achieve a result not readily forthcoming because you do not desire to use more appropriate modes of action, such as court process or in some cases a regulatory authority.

To assist in the preparation of your complaint please note the following:

### Fee Disputes

Since the accountancy profession is unregulated, CPA Australia will not become involved in matters primarily concerning a fee dispute between a client and a Member of CPA Australia. Fees are a commercial matter and CPA Australia does not recommend any fee scale. Unless the contrary is clearly indicated, fees are chargeable for an initial consultation.

In the event of a fee dispute you may wish to use mediation, which is conducted on a commercial basis and must be agreed to by each party. CPA Australia is unable to appoint a mediator. CPA Australia has no power to enforce any agreement between the parties in mediation.

### Complaint Process

CPA Australia will usually only accept a signed written complaint where the identity of the complainant is known. CPA Australia does not accept anonymous complaints.

A complaint will not generally be accepted unless you provide all the information requested including documentation in support of the complaint.

CPA Australia will acknowledge your written complaint and advise you of further procedures.

Your complaint form and attachments will be sent to the member for comment. Please note that if the complaint is deemed unviable, it will be sent to the member in accordance with our By-laws. If you submit a complaint and you withdraw it before it is submitted to the member, the member will not be notified.

The time taken to investigate a complaint varies from case to case and will depend on a number of factors, including response times, the complexity of the matter and any relevant legal issues.

You will be notified in writing of the outcome of your complaint.

To ascertain if the person in your complaint is a Member of CPA Australia you can contact a Professional Conduct Officer by email at [conduct@cpaaustralia.com.au](mailto:conduct@cpaaustralia.com.au)

If you require further information on the complaints process please refer to our website [cpaaustralia.com.au/complaints](http://cpaaustralia.com.au/complaints)

Please forward the completed complaint form to:

General Manager Professional Conduct  
CPA Australia  
Locked Bag 23  
Grosvenor Place NSW 1220 Australia

# COMPLAINT ABOUT A MEMBER OF CPA AUSTRALIA LTD (CON'T).

This form is used to make a complaint about a member of CPA Australia. All details must be completed.

## 1 WHO IS THE SUBJECT OF THE COMPLAINT

Member's name						
Practice name						
Practice address						
Town or City		State		Postcode		Country
Member's email						
Telephone	Home (include area code)			Business		

## 2 COMPLAINANT(S) DETAILS

Name						
Practice name						
Address						
Town or City		State		Postcode		Country
Email						
Telephone	(include area code) Home			Business		

## 3 ACTIONS TAKEN BY COMPLAINANT TO RESOLVE THE ISSUE

Have you taken any action to resolve the issue prior to lodging this form? Yes  No

If you have indicated 'Yes' please give a brief summary of the actions. (You are asked to provide full details about the complaint in the next section).

(If you require extra room please attach additional pages)

#### 4 WHAT IS THE COMPLAINT

(Please set out, in chronological order, the circumstances giving rise to the complaint. You should make sure the entire background of the complaint is described as clearly as possible and that evidence is attached where applicable).

(If you require extra room please attach additional pages)

#### 5 LIST OF SUPPORTING EVIDENCE

Please list:

Evidence may include copies of letters, bank statements, cheques or company records. However if you are providing taxation records all references to the **Tax File Number must be obscured.**

**6 PRIVACY STATEMENT**

In this Privacy Statement, "Personal Information" has the same meaning as in the Privacy Act 1988 (Cth). CPA Australia is committed to protecting the privacy and security of the Personal Information which it holds about you.

The Personal Information you provide us with in this form will be used by CPA Australia to investigate the complaint and in any CPA Australia disciplinary proceedings. If you do not provide us with this Personal Information, we may not be able to investigate your complaint.

CPA Australia may disclose the Personal Information you provide us to:

- the Member in question and their representative
- tribunal members and staff of CPA Australia involved in the disciplinary process
- external service providers to whom we have contracted out functions, such as transcript recording service providers but only for the purpose of CPA Australia's disciplinary procedures
- regulatory bodies as required by law
- other professional bodies of which the Member may also have membership

Your Personal Information may be transferred out of Australia for the purposes stated above.

You have the right to access any Personal Information which CPA Australia holds about you, subject to the exceptions in the Privacy Act 1988 (Cth).

You may also request the correction of information which is inaccurate. Access and/or correction requests can be made at your local CPA Australia office.

For more information on CPA Australia's Privacy Policy, visit our website at [cpaaustralia.com.au](http://cpaaustralia.com.au)

**7 CONSENT**

1. I/we understand that CPA Australia will forward a copy of this complaint and attachment(s) and may forward any further correspondence submitted during the course of the investigation, to the Member, even if the complaint is deemed unviable.
2. I/we understand that CPA Australia may, for the purpose of investigating this complaint or for audit or quality assurance reviews, have access to any of my/our files or records held by the Member and I/we will execute any other authority or request for information necessary for CPA Australia to obtain relevant information and provide any further information within my/our power necessary for CPA Australia's disciplinary process in respect of this complaint.
3. I/we have read and consent to CPA Australia's collection, use and disclosure of the information supplied in this form (see Privacy Statement above).
4. I/we understand that once a complaint is made and notwithstanding that the complainant withdraws the complaint, CPA Australia may act on its own accord in assembling evidence or laying the complaint. CPA Australia may continue to investigate a complaint if there is sufficient evidence available, without the complainant's participation.
5. If applicable, "I/we hereby authorise the following person to act on my/our behalf."

Name														
Address														
Town or City		State		Postcode		Country								
Email														
Telephone	<small>(include area code) Home</small>			Business										
Facsimile	<small>(include area code)</small>													
Agent's signature						Date			/			/		

**8 COMPLAINANT'S SIGNATURE**

Complainant's signature										
	Date			/			/			

(all relevant parties to sign)

**9 PLEASE SUBMIT YOUR FORM TO:**

General Manager Professional Conduct  
 CPA Australia  
 Locked Bag 23  
 Grosvenor Place NSW 1220 Australia