HELPSHEET
INFORMATION ON PUBLICITY
Which decisions are publicised?
The Investigation Committee investigates complaints against Members, CA Student Members, Affiliates and Firms. When the Committee upholds a complaint and applies a disciplinary sanction, it will publicise the outcome in accordance with Regulation 8 of the Investigation Regulations.

Why are decisions publicised?
Publicising disciplinary outcomes is common practice amongst professional regulators. We believe it achieves a number of different aims:
- It promotes public confidence in ICAS as a regulator.
- It provides transparency to our investigation process.
- It acts as a deterrent.
- It informs, alerts and educates.

What information will be contained in the publicity notice?
We use a standard template when preparing a publicity notice, to ensure that outcomes are publicised in a consistent manner.

The notice will include the following:
- The name of the Member, CA Student Member, Affiliate or Firm.
- The location of the relevant Firm, practice or business.
- The charge(s) which have been upheld by the Investigation Committee.
- The sanction (including any financial penalty and/or costs order).
- A short commentary on the issues of concern.

The notice will not include the name of the complainer, or other third parties/clients involved in the complaint. If referring to a company involved in the complaint, the notice will normally say “Company X” or words to that effect.

Where will the publicity notice be displayed?
In all instances, the publicity notice will appear in CA Magazine and on the ICAS website.

Disciplinary notices on icas.com can be accessed through the following link: icas.com/regulation/disciplinary-notices

The Committee may, at its discretion, choose to publicise a sanction elsewhere; for example, in a national or local newspaper. This might happen if the Committee considers that the outcome of its investigation is of increased relevance to a particular section of society.

Sanctions against insolvency practitioners are also publicised separately by the Insolvency Service on its website.

The Case Officer will ensure that the parties are given advance notice of the location and timing of the publicity.

How long will the publicity notice remain on the ICAS website?
The publicity notice will be removed from the ICAS website after five years has passed since the date on which the sanction was applied (taking account of any appeal process).

Are there any circumstances where publicity is not appropriate?
Whilst publicity is the default position; there may be a small number of cases where the Committee will decide that there are extenuating circumstances which mean that publicity would not be appropriate. In such instances, the Committee may still release a publicity notice, but with the name of the Member, CA Student Member, Affiliate and Firm withheld.
Given its commitment to transparency, the decision to publicise a decision on an anonymous basis will only be taken in exceptional circumstances, for example, where there is evidence to suggest that publicity would:

- Be disproportionate.
- Jeopardise the stability of financial markets.
- Jeopardise an ongoing criminal investigation.
- Cause disproportionate damage to any institution or individual involved.

**Will the Committee ever comment publicly on an ongoing investigation?**

While investigations are generally conducted in strict confidence, the Investigation Regulations allow the Convener of the Committee to issue a public statement if he or she considers that this is necessary to maintain public confidence in ICAS' disciplinary process.

**Will there be publicity if a complaint is rejected?**

The Committee will not publicise the rejection of a complaint unless it receives a specific request to do so from the Member, CA Student Member, Affiliate and Firm that was subject to the complaint. In such circumstances, the Committee will have full discretion over the placement, form and content of the notice.