# Complaints Policy

1. The Department may investigate any alleged breaches by an Assessor of the Code of Conduct.
2. The Department may become aware of alleged breaches of the Code of Conduct by:
   1. self-reporting by the Assessor;
   2. notification by an Intermediary;
   3. notification by a Customer;
   4. notification by a Scorecard Auditor; or
   5. becoming aware of information in some other manner.
3. The Department only deals with alleged breaches of the Code of Conduct. It shall not attempt to resolve disputes between the customers and Assessor in relation to commercial disputes. The alleged breach will be classified to ensure it is within the jurisdiction of the Department.
4. The alleged breaches of the Code of Conduct may be investigated by the Department. The key steps of such an investigation shall be:
   1. determining the source of information of the alleged breaches raised by a third party;
   2. details of the breach will be requested from the third party;
   3. the Department will contact the Assessor in writing, providing details of the alleged breach as soon as practical;
   4. the Assessor will have 28 days to respond to the Department setting out its comments and evidence on the alleged breach, (if the Assessor provides no response the Department will continue with its investigation under this Complaints Policy);
   5. if the matter is not disputed by the Assessor they must explain any actions they have taken to address the alleged breach/es as soon as practical;
   6. the Department will investigate and assess the issues as soon as reasonably practicable in order to minimise the customer dissatisfaction and inconvenience to the Assessor;
   7. where a breach of the Code of Conduct is found, the Department has the absolute discretion to determine the gravity of the breach, as either minor, moderate or serious and award Non-compliance Points in accordance with the following scale:
      1. serious breach – 3 Non-compliance Points;
      2. moderate breach - 2 Non-compliance Points; and
      3. minor breach – 1 Non-compliance Point.
5. In addition, the Department has the absolute discretion to determine that any reported breach of the Code of Conduct is of such severity that:
   1. 6 Non-compliance Points should be awarded; or
   2. the Assessor should be immediately suspended.
6. The Assessor will be notified in writing of the outcome of the investigation, including the number of Non-compliance Points being awarded (if any).
7. If the Assessor is found to have breached the Code of Conduct and has had Non-compliance points awarded or is suspended, any Intermediary associated with the Assessor shall be notified of the outcome by the assessor.
8. Each Assessor shall commence their Accreditation with zero Non-compliance Points.
9. If an Assessor is not satisfied with the findings of the Department and/or the number of Non-compliance Points awarded then the Assessor may make a written request to the Department for an internal review. The Department shall respond to the Assessor with the outcomes of the internal review within 60 days of receipt of the written request for an internal review.