

# complaints handling **procedure**

July 2018



Australian  
Carbon Industry  
**Code of Conduct**



## Complaints handling procedure

This document details the process for handling complaints and alleged breaches of the Code, as well as the process by which the Code Administrator will respond to complaints and alleged breaches received during the Foundation Stage of the Code. This procedure has been designed to promote industry best practice during the Foundation Stage, as signatories and other key stakeholders become familiar with the Code.

### Definitions

The following definitions are included in the Carbon Industry Code of Conduct:

- **Complaint** An expression of dissatisfaction with an action or service of a signatory where a response or resolution is explicitly or implicitly expected (see [AS ISO 10002–2006](#)).
- **Breach** Any failure to comply with the Code of Conduct including the Code Rules, and other documentation referred to in the Code.
- **Complainant** A client, stakeholder or other party who lodges a complaint.

### Complaints and alleged breaches

1. Complaints and alleged breaches of the Carbon Industry Code of Conduct can be raised via:
  - self-reporting by Code signatories using the **Signatory Complaints Form** available on the Code website in the Forms & Resources section of the Code of Conduct website,
  - clients using the **Client Complaints Form** available on the Code website in the Forms & Resources section of the Code of Conduct website,
  - any other person or body using the **Client Complaints Form** available in the Forms & Resources section of the Code of Conduct website.
2. Complainants are required to contact the signatory against which they are making a complaint in the first instance, prior to notifying the Code Administrator.
3. The signatory is required to be responsive and deal appropriately with complaints received from clients and other stakeholders in a timely manner. Signatories are encouraged to read the **Complaints Guidance Note for Signatories** available in the Forms & Resources section of the Code of Conduct website.
4. Written acknowledgment of receipt of a complaint will be sent by the Code Administrator to the complainant within three (3) business days of the Code Administrator receiving notification of the complaint.
5. The Code Administrator will record all information received in relation to complaints and alleged breaches and retain an electronic file in a register.
6. This information will be used to monitor the effectiveness of the Code and inform the Code Annual Report.
7. Information collected will be treated with appropriate confidentiality and signatories against which a complaint or suspected breach is reported will not be publicly identified.
8. Signatories are required to keep appropriate records of all internal investigation processes undertaken in relation to complaints received.



## Monitoring complaints

As Code Administrator, the CMI will monitor and review compliance under the Code to ensure signatories continue to operate professionally and in compliance with the requirements of the Code. The Code Administrator will monitor complaints that it is made aware of and gather information on the nature and number of complaints in relation to Code signatories.

During the Operational Phase, the Code Administrator's responsibility will extend to include undertaking compliance audits and initiating enquiries into compliance, investigating complaints and breaches, and enforcing sanctions.

The Code Administrator may take action where there are unresolved complaints of a serious nature made against a signatory. Similarly, in circumstances where there is serious, wilful, systemic or repetitive non-compliance with the potential to impact clients and the carbon industry, the Code Administrator may take action.

## Data collection and reporting

It is critical to record and analyse data on industry complaints in order to ensure the Code remains effective. The Code Administrator will do this by:

- collating information on complaints as provided by Code signatories,
- collating information on complaints provided by clients and other stakeholders.

This information will be analysed and used to track the effectiveness of the Code, and to highlight newly arising problem areas that may need to be addressed by the Code.

Please refer to the Frequently Asked Questions on the Code of Conduct website for further information on dealing with complaints and suspected breaches of the Code.

## for more information please contact

Code Administrator

[code.administrator@carbonmarketinstitute.org](mailto:code.administrator@carbonmarketinstitute.org)

+61 (03) 8601 1142



Australian  
Carbon Industry  
**Code of Conduct**