

Complaints Management and Resolution Procedure

Audiology Australia

Australian College of Audiology

1 April 2022

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Table of Contents

Definitions	3
1 Introduction	4
1.1 Ethics officer contact details.....	4
2 Governing principles	5
2.1 Principle 1- Code of Conduct	5
2.2 Principle 2- Confidentiality and privacy.....	5
2.3 Principle 3- Conflict of Interest.....	5
2.4 Principle 4- Procedural Fairness	5
2.5 Principle 5- Maintenance of records	6
2.6 Principle 6- Publication of information regarding complaints and notification of other bodies.....	6
3 Parties involved in implementing this procedure.....	7
3.1 Ethics Officer.....	7
3.2 Ethics Review Committee	7
3.3 Pool of Assessors	7
3.4 Hearing and Investigation Panel.....	8
3.5 Appeals Panel	8
3.6 Overview of Parties and Governance	8
4 Complaint management and resolution process.....	10
4.1 Stage 1- Making a complaint	10
4.1.1 Who can be complained about?.....	10
4.1.2 What can be complained about?	10
4.1.3 Who can make a complaint?	10
4.1.4 Ethics Officer may initiate or refer any complaint	10
4.1.5 Time limit on making a complaint	11
4.1.6 Who is a complaint made to?.....	11
4.1.7 Form of complaint	11
4.1.8 Matters of which a complainant is to be made aware	11
4.1.9 Costs incurred by parties involved in a complaint.....	12
4.2 Stage 2- Investigation and determination of complaint.....	13
4.2.1 Management of a received complaint	13
4.2.1.1 Informal resolution of complaint	13
4.2.1.2 Referral of complaint to the Ethics Review Committee.....	13
4.2.1.3 Complaint not referred to the Ethics Review Committee.....	13
4.2.1.4 Delayed commencement or suspension of mediation or investigation	14
4.2.1.5 Investigation may proceed even if matter before other body.....	14
4.2.1.6 Right of complainant to withdraw a complaint.....	14

4.2.2	Resolution of matter via mediation.....	14
4.2.2.1	Resolution at mediation	15
4.2.2.2	If resolution cannot be reached at mediation.....	15
4.2.3	Investigation and Hearing	15
4.2.3.1	Formation of a Hearing and Investigation Panel.....	15
4.2.3.2	Notification to complainant	15
4.2.3.3	Notification to respondent.....	15
4.2.3.4	Respondent writes a response to the complaint	16
4.2.3.5	Hearing and investigation opened	16
4.2.3.6	Meeting format	16
4.2.3.7	Investigation procedures.....	16
4.2.3.8	Possible outcomes of an investigation.....	17
4.2.3.9	Sanctions that the Hearing and Investigation Panel may recommend	17
4.2.3.10	Review of the findings and recommended sanctions to the Ethics Review Committee.....	18
4.2.3.11	Communication of findings and recommended sanctions to Boards of AudA and ACAud.....	18
4.2.3.12	Adoption by the relevant professional body(bodies) in accordance with its constitution	19
4.2.3.13	Notification of outcome to complainant and respondent	19
4.2.3.14	Respondent’s obligation to comply.....	19
4.2.3.15	Completion and monitoring of sanctions.....	19
4.2.4	Urgent, preliminary hearing of complaint.....	20
5	Appeal process.....	22
5.1	Requirements to satisfy for review request	22
5.2	Notification of complainant and respondent	22
5.3	Formation of Appeals Panel	22
5.4	Review process of the Appeals Panel	22
5.5	Function of Appeals Panel and possible outcomes of review	23
5.5.1	Communication of Appeals Panel findings and recommendations	23
5.5.2	Adoption by the relevant professional body(bodies) in accordance with its constitution	23
5.5.3	Notification of outcome to Complainant and Respondent	24
5.5.4	Decision final and determinative.....	24

Definitions

The terms used in this Complaints Management and Resolution Procedure (**Complaints Procedure**) have the meanings set out below.

AudA: Audiology Australia, a professional body representing audiologists in Australia.

ACAud: Australian College of Audiology, a professional body representing both audiologists and audiometrists in Australia.

Appeals Panel: a panel of at least 3 members constituted from the Pool of Assessors. The Appeals Panel reviews the decision of a Hearing and Investigation Panel or a Board of AudA or ACAud made under this Complaints Procedure.

Code of Conduct: Code of Conduct for audiologists and audiometrists developed and adopted by AudA and ACAud

complainant: a person who, or body or organisation which, makes a complaint about the professional conduct of a member of AudA or ACAud.

complaint: a complaint that concerns the ethical or professional conduct of a member of AudA or ACAud or which concerns a possible breach of the Code of Conduct.

Ethics Officer: the person so appointed by AudA and ACAud who will, amongst other things, perform the roles and responsibilities detailed in this Complaints Procedure.

Ethics Review Committee: the committee established by AudA and ACAud to investigate complaints regarding their respective members and to make recommendations (through a Hearing and Investigation Panel) to the Board of the relevant professional body regarding such complaints.

Hearing and Investigation Panel: a panel of at least three members constituted from the Pool of Assessors. The Hearing and Investigation Panel investigates, hears, determines and makes recommendations in relation to complaints made about the professional conduct of members of AudA or ACAud.

Hearing healthcare professional: refers to all audiologists, audiometrists and allied health assistants working in Australia, irrespective of professional membership.

member: a member of AudA or ACAud. Under this Complaints Procedure, the term 'member' also includes all people who are clinically certified by AudA or ACAud.

Pool of Assessors: members of AudA or ACAud who have agreed to volunteer to sit on either a Hearing and Investigation Panel or an Appeals Panel, and a selection of lay or community representatives who have agreed to volunteer to sit on either a Hearing and Investigation Panel or an Appeals Panel.

professional body: in this document 'professional body' refers to AudA or ACAud. As an audiologist may be a member of both AudA and ACAud, the terms 'professional body' and 'professional bodies' may be used interchangeably where relevant.

respondent: a member of AudA or ACAud in respect of whom a complaint has been made to AudA or ACAud in relation to that member's professional conduct.

1 Introduction

Audiology Australia (AudA) and the Australian College of Audiology (ACAud) are professional bodies representing audiologists and audiometrists in Australia. AudA and ACAud are committed to ensuring that their members maintain a high standard of ethical and professional conduct and that the public maintain a high level of trust in the professions of audiology and audiometry.

AudA and ACAud collaborated in the development of the Code of Conduct and both independently implemented this Code in mid-2016. The Code of Conduct applies to all members of the professional bodies and is in line with the National Code of Conduct for Health Care Workers¹.

In order to optimally manage and investigate breaches of the Code of Conduct, AudA and ACAud also implemented the single, independent Complaints Management and Resolution Procedure (Complaints Procedure) outlined in this document. This Complaints Procedure establishes a consistent approach to the management of complaints, professional conduct issues, and disciplinary outcomes across AudA and ACAud.

It is envisaged that the Code of Conduct and this robust and independent Complaints Procedure will promote certainty and confidence within both the profession and the community regarding the conduct requirements that members of AudA and ACAud must meet.

The procedures and principles set out in this document will be reviewed regularly by AudA and ACAud to ensure they continue to reflect, amongst other things, applicable legal and regulatory requirements, evolving clinical practices, the requirements of the profession, and the expectations of consumers.

1.1 Ethics Officer contact details

Any enquiries regarding this Complaints Procedure should be discussed with, and any complaints regarding a member should be made to, the Ethics Officer. The contact details for the Ethics Officer are:

Telephone number: (03) 9940 3911

Mailing address: Suite 101, 13 Cremorne Street, Cremorne, 3121.

Email address: ethics@auderc.org.au

¹ Australian Health Ministers' Advisory Council. Final Report-A National Code of Conduct for health care workers. COAG Health Council; 2015.

2 Governing principles

AudA and ACAud are committed to ensuring that this Complaints Procedure is applied in a manner that is fair and equitable and has regard to the rights and interests of relevant stakeholders, including: the professional bodies; members of the professional bodies; consumers of audiology and audiometry services, and; third party funders of services. This has been ensured by giving due consideration to the principles described below.

2.1 Principle 1- Code of Conduct

The Code of Conduct prescribes the professional and ethical standards required of AudA and ACAud members. It guides members of these professional bodies on the principles of sound professional and ethical conduct and engenders trust and confidence in the professions of audiology and audiometry. This Complaints Procedure outlines how complaints relating to potential breaches of the Code of Conduct by an AudA or ACAud member will be resolved.

2.2 Principle 2- Confidentiality and privacy

AudA and ACAud recognise that a complaint will often involve sensitive or confidential information regarding the complainant, the respondent and, in some cases, others. The Ethics Officer, members of the Ethics Review Committee and the Pool of Assessors and all staff members of AudA and ACAud (including Chief Executive Officers) are required to maintain in confidence all information that concerns a complaint and to manage any personal information regarding a complaint in accordance with all applicable privacy laws.

Confidential information and personal information may be disclosed to the relevant professional body, its Board of Directors and its staff and members of the Ethics Review Committee, a Hearing and Investigation Panel and an Appeals Panel. It may also be disclosed to other persons or organisations in certain circumstances, examples of which include: if the disclosure is required by law; if it is necessary to disclose the information to prevent harm or injury to a person; or, if it is deemed necessary to disclose the information to a regulatory or government agency for further investigation.

2.3 Principle 3- Conflict of Interest

AudA and ACAud have implemented processes to manage conflicts of interest where they might arise. These include the following measures:

- Upon their appointment, a person who is appointed as a member of the Ethics Review Committee or the Pool of Assessors must declare any interest that might place them in a conflict of interest in performing their duties as such member.
- Any person who is involved in the making of a decision in relation to a complaint must disclose the existence and nature of any potential or actual conflict of interest that affects them.
- A member of the Ethics Review Committee, a Hearing and Investigation Panel or an Appeals Panel must take reasonable steps to resolve any conflict of interest issue that affects them to ensure that the integrity of the process set out in this Complaints Procedure and the rights and interests of the complainant and the respondent are not compromised.
- The Ethics Review Committee may determine that a person should be disqualified from participating in a Hearing and Investigation Panel or Appeals Panel due to the existence of a perceived or actual conflict of interest.
- Where the Ethics Officer becomes aware of a conflict of interest in handling a complaint, the Ethics Officer will immediately remove themselves from the specific case and inform the Chairperson of the Ethics Review Committee, who will take over from the matter of handling the complaint.

2.4 Principle 4- Procedural Fairness

The principles and processes established by this Complaints Procedure ensure that decision-making regarding a complaint made in relation to a member is fair and reasonable. This Complaints Procedure is not required to, and does not, apply the same rules that a court applies in relation to the hearing and determination of

matters. Similarly, this Complaints Procedure is not bound to follow the rules that a court might apply in relation to the collection and use of evidence.

Nevertheless, the Complaints Procedure broadly reflects the principles of procedural fairness. In particular, the decision-making process embodies the principles of procedural fairness in the following manner:

- The complainant and the respondent are informed about the decision-making process.
- The respondent is informed about the nature of any allegations against him or her.
- The respondent is given a reasonable opportunity to respond to the allegations and to put his or her case.
- The Hearing and Investigation Panel and (if applicable) the Appeals Panel must consider the respondent's submissions.
- The Hearing and Investigation Panel and (if applicable) the Appeals Panel must make reasonable inquiries or investigations. Each must ensure that its decision is based upon findings of fact that are based upon sound reasoning and logically probative evidence.
- The Hearing and Investigation Panel and the Appeals Panel must:
 - act fairly and without bias in making decisions;
 - ensure that no person is involved in a decision in which they have a direct interest; and
 - conduct an investigation and reach its decision within the timeframes specified in this Complaints Procedure.

2.5 Principle 5- Maintenance of records

AudA and ACAud will maintain records regarding complaints that are received in relation to any of its members. Each professional body will also maintain records of the outcome of any investigation and hearing conducted in relation to any of its members under this Complaints Procedure. These records will be maintained and managed in accordance with applicable privacy laws.

2.6 Principle 6- Publication of information regarding complaints and notification of other bodies

AudA and ACAud may publish information about a decision made under this Complaints Procedure on their website or elsewhere. The publication may state the name of the respondent (that is, the member investigated) and relevant details of the complaint, including its outcome and any sanction imposed. These details may be published on the professional body's relevant website for such period as the professional body deems necessary and appropriate.

A professional body may also publish de-identified information about complaints and the outcomes of investigations and hearings conducted under this Complaints Procedure in both individual and aggregate form.

AudA and ACAud may notify another professional body, regulatory body or agency about a complaint regarding a member and its outcome where it considers it is reasonable and just to do so or it is otherwise appropriate to do so.

3 Parties involved in implementing this procedure

This section describes the role and function of the personnel which are involved in the management of ethical issues and complaints regarding members of AudA and ACAud.

3.1 Ethics Officer

The Ethics Officer is the primary point of contact for members of the public who want to discuss ethical issues or complaints concerning members of AudA and ACAud. The Ethics Officer may be contacted by any person (including a professional body member) who has a query regarding the Code of Conduct, this Complaints Procedure, or any other issue regarding the ethical or professional conduct of a member of AudA or ACAud. The Ethics Officer also provides secretarial and administrative support to the Ethics Review Committee in implementing this Complaints Procedure.

The Ethics Officer is employed following unanimous agreement by AudA and ACAud following due consideration of the applicant's qualifications and experience against any relevant selection criteria developed by the professional bodies.

3.2 Ethics Review Committee

The Board of Directors of AudA and ACAud have authorised responsibility regarding the investigation, hearing and making of recommendations regarding complaints to the Ethics Review Committee. The Ethics Review Committee is responsible for hearing, investigating, reviewing and making recommendations to the respective Board(s) of the professional body(bodies) in relation to complaints about members of AudA and ACAud. The Ethics Review Committee may appoint a Hearing and Investigation Panel or Appeals Panel to assist in this process. The Ethics Review Committee must deal with complaints in an equitable, objective and fair manner and in accordance with the principles set out in this Complaints Procedure.

The Ethics Review Committee comprises at least seven members. The members of the Ethics Review Committee are the following:

- **The Chairperson, Ethics Review Committee.** The Chairperson, Ethics Review Committee is a senior, independent, experienced chair who is neither a current nor past member of AudA or ACAud, nor a current employee of AudA or ACAud.
- **Two members of AudA,** each of whom has at least five years' experience in relation to the practice of audiology, but who is not a current director on the Board of AudA or a current employee of AudA.
- **Two members of ACAud,** each of whom has at least five years' experience in relation to the practice of audiology and/or audiometry, but who is not a current director on the Board of ACAud or a current employee of ACAud.
- **Two lay or community representative members.** The lay or community representative members must not have practised audiology or audiometry or be a past or present member, Board member or employee of either AudA or ACAud, or have any financial or other interest in relation to AudA or ACAud. The lay or community representative members must be persons who can fairly and accurately represent the views and perspectives of the community.

The Ethics Review Committee is appointed and operates according to the Terms of Reference for the Ethics Review Committee, the Selection Criteria for the Ethics Review Committee and all other relevant policies and procedures adopted by AudA and ACAud.

3.3 Pool of Assessors

The Pool of Assessors will consist of volunteer audiologists and audiometrists who are members of AudA and ACAud, as well as a selection of lay and community representative volunteers. A member of the Pool of Assessors may not be a current Board director of AudA or ACAud, or a current member of the Ethics Review Committee.

The Pool of Assessors are appointed by the Ethics Review Committee according to the Selection Criteria for the Pool of Assessors.

3.4 Hearing and Investigation Panel

A Hearing and Investigation Panel will be drawn from the Pool of Assessors. The Hearing and Investigation Panel will be appointed by the Ethics Review Committee and operate according to the Terms of Reference for the Hearing and Investigation Panel.

If the complaint relates to an audiologist, the Hearing and Investigation Panel will consist of three members as follows:

- One audiologist who is a member of the professional body that the audiologist is a member of (i.e. AudA or ACAud);
- One audiologist who is a member of the other professional body; and
- One member who is a lay or community representative.

If the complaint relates to an audiometrist, the Hearing and Investigation Panel will consist of three members as follows:

- One audiologist who is a member of AudA;
- One audiologist or audiometrist who is a member of ACAud; and
- One member who is a lay or community representative.

The Chairperson of the Ethics Review Committee will appoint the Chairperson of the Hearing and Investigation Panel.

3.5 Appeals Panel

An Appeals Panel will be appointed by the Ethics Review Committee Chairperson and operate according to the Terms of Reference for the Appeals Panel.

An Appeals Panel must consist of the following:

- One member of the Pool of Assessors who was not part of the Hearing and Investigation Panel and who is also a member of the professional body of which the respondent is a member;
- One member of the Pool of Assessors who was not part of the Hearing and Investigation Panel and who is a lay or community representative; and
- A practising solicitor.

The practising solicitor will ordinarily perform the role of Chairperson of the Appeals Panel.

3.6 Overview of Parties and Governance

The governance structure and reporting and communication channels are detailed in this Complaints Procedure, the Ethics Review Committee Terms of Reference, Hearing and Investigation Panel and Appeals Panel Terms of Reference and any relevant position description and/or contract with the Ethics Officer.

Figure 1 provides an overview of the governance and reporting structure for the parties involved in the implementation of this Complaints Procedure. Figure 2 provides an overview of the communication channels between parties involved in the implementation of this Complaints Procedure.

Figure 1 Overview of the governance and reporting structure for the parties involved in the implementation of this Complaints Procedure.

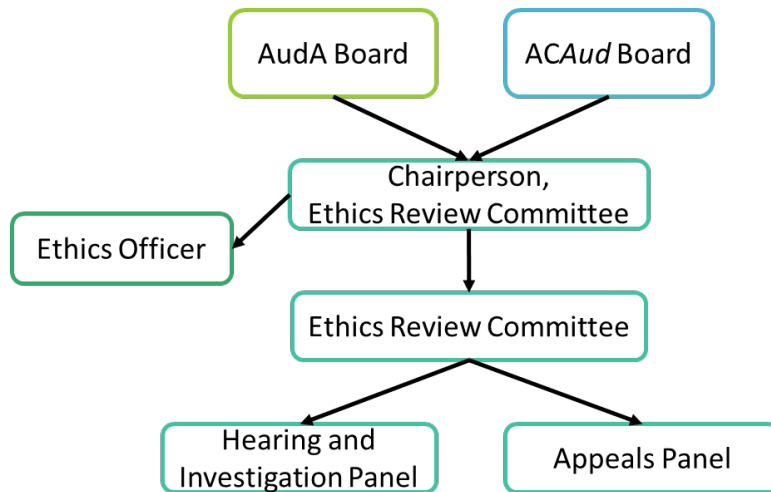
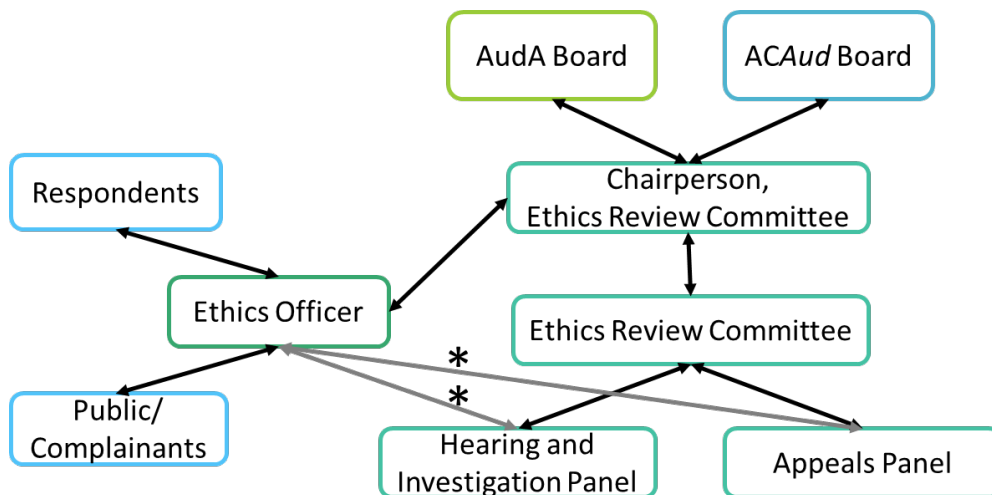


Figure 2 Overview of the communication channels between parties involved in the implementation of this Complaints Procedure.



* Secretarial/administrative support only

4 Complaint management and resolution process

4.1 Stage 1- Making a complaint

4.1.1 Who can be complained about?

A complaint may be made in relation to:

- a person who is a current member of AudA or ACAud;
- a person who is not a current member of AudA or ACAud but the issue or incident being complained about occurred during a period when the person was a member; or
- a person who is a current member of AudA or ACAud and the issue or incident being complained about occurred during a period when the person was not a member.

Other than in the circumstances described above, AudA and ACAud will generally not investigate a complaint regarding, and this Complaints Procedure does not apply to, any person who is not a member of AudA or ACAud.

4.1.2 What can be complained about?

A complaint may be made about the professional or ethical conduct of a member of AudA or ACAud. A complaint may relate to any one or more possible breaches of the Code of Conduct. In line with the Code of Conduct, a complaint may relate to the conduct of a member of a professional body if the conduct has not occurred in the course of the practice of audiology or audiometry but might otherwise bring the profession of audiology or audiometry into disrepute.

4.1.3 Who can make a complaint?

Any person or entity (for example, an organisation or agency) may make a complaint about a member of AudA or ACAud, including (but not limited to) any of the following:

- The person who received the relevant services (i.e., the client);
- A parent or guardian of the person who received the services;
- A relative, friend of the person who received the services;
- A person with legal authority in relation to the person who received the services if the person who received the services lacks the capacity to make a complaint;
- A representative nominated by the person who received the services for the purpose of making the complaint;
- A member of AudA or ACAud; or
- A health services provider who is not a member of AudA or ACAud.

If a complaint is made on behalf of an adult person who received the services or experienced the issue complained about, the person acting on their behalf may be required to provide evidence that he or she has authority to make the complaint on behalf of the person concerned.

4.1.4 Ethics Officer may initiate or refer any complaint

The Ethics Officer may initiate a complaint against a member of AudA or ACAud if the Ethics Officer becomes aware of information which suggests the member may have committed a possible breach of the Code of Conduct. In such a case, the President(s) of the professional body(bodies) of which the respondent is a member will be named as the complainant.

The Ethics Officer may also refer any complaint regarding a member or other hearing healthcare professional raised by a person or of which he or she becomes aware to any agency, health care complaint entity, other professional association or any other regulatory or government body, that has a direct interest in, or jurisdiction over, the matter. If the complaint involves a possible breach of the criminal law, the Ethics Officer may refer it to an appropriate law enforcement body.

The Ethics Officer may refer a complaint regarding a member to any of the abovementioned bodies at any time, including during or after an investigation and hearing by a Hearing and Investigation Panel. The Ethics Officer may make such referral regardless of whether or not the complaint is investigated and determined under this Complaints Procedure. A complaint may be investigated and heard (or continue to be investigated and heard) under this Complaints Procedure even if it has been referred by the Ethics Officer to any of those bodies.

The Ethics Officer may also refer a complaint regarding practices of businesses where a member is employed, and where the practice relates to a complaint against a member who is an employee. Prior to referring the complaint, the Ethics Officer must receive written approval from both the AudA Board and the ACAud Board to undertake such action.

4.1.5 Time limit on making a complaint

A complaint about a member of AudA or ACAud must be made within the applicable time period specified below.

If a person was an adult at the time the relevant service was provided or the incident which is the subject of a complaint occurred, the limitation period for making a complaint is the earlier of the following:

- Twelve months from the date on which the complainant first became aware of the alleged incident or breach of the Code of Conduct; or
- Five years from the date on which the behaviour that constitutes the alleged breach of the Code of Conduct occurred.

If a person was under the age of 18 years at the time the relevant service was provided or the incident which is the subject of a complaint occurred, the limitation period for making a complaint by that person is the earlier of the following:

- Twelve months from the date on which the complainant first became aware of the alleged incident or breach of the Code of Conduct after the complainant has reached 18 years of age; or
- Five years after the complainant has turned 18 years of age.

Notwithstanding the above limitation periods, the Ethics Officer, in consultation with the Chairperson of the Ethics Review Committee, may extend any of the limitation periods for a complaint if, in their opinion, it is just and reasonable to do so in the circumstances or if it would be harsh or inequitable for the extension to not be granted.

4.1.6 Who is a complaint made to?

A complaint about a member of AudA or ACAud must be made to the Ethics Officer. Any queries regarding a complaint should be directed to the Ethics Officer. If a complaint is received by a staff member of AudA or ACAud, the person receiving the complaint will immediately forward it to the Ethics Officer. The staff member will maintain in confidence all details regarding the complaint.

4.1.7 Form of complaint

A complaint must be made in writing by completing the Complaint Form (published by the Ethics Review Committee from time to time) and submitting the completed form to the Ethics Officer. A copy of the Complaint Form may be obtained upon request from the Ethics Officer or downloaded from the relevant website(s).

If a person is unable to make a complaint in writing or requires assistance to make a complaint, they should contact the Ethics Officer. The Ethics Officer may assist the person or direct them to a person or service that can provide such assistance.

4.1.8 Matters of which a complainant is to be made aware

The Ethics Officer must ensure that a complainant is made aware of the following matters:

- The complaint resolution process set out in this Complaints Procedure;
- The scope of the Code of Conduct;
- That all details of the complaint will ordinarily be provided to the respondent. Further, while the complainant has a right to request that their identity not be disclosed to the respondent, in many cases by virtue of the nature of the complaint the identity of the complainant is likely to be apparent to the respondent;
- That if the complainant does not wish to pursue a complaint or withdraws it, the matter may nevertheless be investigated in accordance with this Complaints Procedure if it is deemed to be of such a nature or seriousness that further investigation is warranted; and
- A person retains the right to pursue other avenues for resolution of their issue(s) in addition to, or as an alternative to, this Complaints Procedure.

4.1.9 Costs incurred by parties involved in a complaint

AudA and ACAud are not responsible for any costs or expenses of any kind incurred by a complainant, a respondent, or a witness, or any person assisting or supporting any such person, in connection with a complaint or any aspect of this Complaints Procedure. However, where costs are incurred as part of any investigation into a complaint, the Chairperson of the Ethics Review Committee may recommend that AudA and ACAud either cover the extraneous costs or reimburse for expenses incurred.

4.2 Stage 2- Investigation and determination of complaint

4.2.1 Management of a received complaint

A complaint may either be resolved informally or be referred to the Ethics Review Committee by the Ethics Officer for investigation and determination.

The Ethics Officer may not refer a complaint for resolution by either method if the complaint:

- does not satisfy the requirements detailed in section 4.1 of this Complaints Procedure;
- relates to a matter or incident that has previously been dealt with and resolved under this Complaints Procedure; or
- in the reasonable opinion of the Ethics Officer, is frivolous or vexatious.

The Ethics Officer will make a record of these matters. A complainant has no right to seek review of a decision by the Ethics Officer to not refer a complaint to be resolved by either method or to refer a complaint to be resolved by a particular method.

4.2.1.1 Informal resolution of complaint

In some cases, a complaint may be managed in an informal way with the assistance of the Ethics Officer. For example, the Ethics Officer may be able to assist with clarifying or explaining an issue which is in dispute or referring the complainant to another body or agency which is more appropriate to manage the issue. The informal resolution of a complaint may or may not involve a respondent. The Ethics Officer may consult with the Chairperson of the Ethics Review Committee when informally resolving a complaint. The Chairperson and Ethics Officer may also seek feedback from the other Ethics Review Committee members when informally resolving a complaint.

If a complaint is managed informally, the Ethics Officer will inform the complainant how the complaint was resolved and that the matter will not progress to the Ethics Review Committee. A complainant has no right to seek review of the outcome of a complaint that is resolved informally. The Ethics Officer will make a record of the complaint and how it was resolved. The informal resolution of a complaint does not prevent the complaint being revived by the Ethics Officer and referred for formal resolution pursuant to section 4.2.1.2 if the Ethics Officer subsequently becomes aware of information that warrants such referral.

Informally resolved complaints will be communicated to the Chairperson of the Ethics Review Committee in written reports at a frequency to be agreed upon by the Ethics Officer and the Chairperson of the Ethics Review Committee.

4.2.1.2 Referral of complaint to the Ethics Review Committee

If a complaint is not managed informally as described directly above, the Ethics Officer must decide within ten business days of receiving the complaint whether the complaint will be referred to the Chairperson of the Ethics Review Committee for resolution via mediation or investigation and hearing by the Ethics Review Committee (through a Hearing and Investigation Panel).

The Ethics Officer will ordinarily refer a complaint to the Chairperson of the Ethics Review Committee for further action if the complaint satisfies the following requirements:

- It relates to an issue that might constitute a breach of the Code of Conduct; and
- It has been made within the applicable limitation period.

4.2.1.3 Complaint not referred to the Ethics Review Committee

If a complaint is not referred to the Ethics Review Committee, the Ethics Officer will inform the complainant within fifteen business days of making a decision not to refer the complaint and the reasons it has not been referred.

The Ethics Officer will provide the details of any complaint not referred to the Ethics Review Committee to the Chairperson of the Ethics Review Committee in written reports at a frequency to be agreed upon by the Ethics Officer and the Chairperson of the Ethics Review Committee.

4.2.1.4 Delayed commencement or suspension of mediation or investigation

The Chairperson of the Ethics Review Committee, in consultation with the Ethics Officer, may (but is not obligated to) delay the commencement, or suspend the conduct of, a mediation process or an investigation and hearing in relation to a complaint at any time and for such period the Chairperson of the Ethics Review Committee deems reasonable in the following circumstances:

- The issue which is the subject of the complaint is being investigated by a law enforcement body or is the subject of court or tribunal proceedings which have commenced or appear likely to commence;
- The issue which is the subject of the complaint is being investigated or reviewed by a government or regulatory body or agency or similar or another health professional association – for example, Medicare or a health care complaints entity; or
- The complainant, the respondent or any person who may be asked to provide evidence that is required in relation to the complaint is unable to provide the evidence due to illness or absence.

4.2.1.5 Investigation may proceed even if matter before other body

The Chairperson may proceed with instigating mediation or the Ethics Review Committee may proceed with forming a Hearing and Investigation Panel in any of the circumstances described above if it considers that it is reasonable and just to do so, having regard to the circumstances of the complaint. Where an issue which is the subject of a complaint is before a body listed in section 4.2.1.4, the Ethics Review Committee and Hearing and Investigation Panel may (but are not obligated to) have regard to the outcome or conclusion of such body and any other relevant issue relating to the investigation or hearing by that body.

4.2.1.6 Right of complainant to withdraw a complaint

A complainant may withdraw a complaint at any time up until a Hearing and Investigation Panel has been constituted by the Ethics Review Committee to consider the complaint. A complainant may withdraw a complaint by giving written notice of the withdrawal to the Ethics Officer. The Ethics Officer will promptly notify the Chairperson of the Ethics Review Committee of the withdrawal.

If a complainant withdraws a complaint, the Chairperson of the Ethics Review Committee may do any of the following:

- If the Chairperson of the Ethics Review Committee forms the view (in their absolute discretion) that the matter is of such a nature or of such seriousness that it should be further investigated and dealt with under this Complaints Procedure, the Chairperson of the Ethics Review Committee may refer the matter to proceed to be heard by a Hearing and Investigation Panel.

If the matter is so referred the following will occur:

- The Ethics Officer will inform the complainant who originally made and then withdrew the complaint that the matter will nevertheless proceed according to this Complaints Procedure. The original complainant may be requested to provide any (additional) information relevant to the complaint.
- The President(s) of the professional body(bodies) of which the respondent is a member (i.e. the President(s) of AudA and/or ACAud) will be named as the complainant(s).
- Refer the matter to any organisation, agency, regulatory or government or other body that has a direct interest in or jurisdiction over the matter.

4.2.2 Resolution of matter via mediation

The Chairperson of the Ethics Review Committee may determine, in consultation with the Ethics Officer, that a complaint may be appropriate for resolution via mediation without a formal hearing and investigation according to 4.2.3. This decision must be made within 10 business days of the Ethics Officer referring the matter to the Chairperson of the Ethics Review Committee.

If a matter is considered to be appropriate for a mediation process, the Ethics Officer will speak separately to the complainant and respondent to arrange a suitable process. Both the complainant and respondent must be willing to engage in the mediation process for any mediation to proceed. If either party refuses, then the complaint will be referred to a Hearing and Investigation Panel.

If a suitable process is agreed upon by the complainant and the respondent, then the Ethics Officer will notify the Chairperson of the Ethics Review Committee who is to appoint a qualified and professionally accredited person to act as a mediator.

The mediator is to act as an independent facilitator of the mediation between the complainant and respondent with the aim to resolve the complaint in a manner agreed to by both the complainant and respondent. This may include an agreed withdrawal of the complaint or any other outcome agreed.

Unless otherwise agreed by the complainant and respondent, the complainant and respondent shall equally pay the costs and incidentals to such mediation process.

4.2.2.1 Resolution at mediation

If the complaint can be resolved at mediation, then the mediator will provide a written report to the Ethics Officer stating the names of the parties, that the matter is considered to have been resolved via mediation and the date that the mediation agreement was signed by the complainant and respondent. The Ethics Officer will then forward this written report by the mediator together with any other details regarding the complaint (e.g. the initial complaint and any contact with the complainant, respondent and Chairperson of the Ethics Review Committee) to the Chairperson of the Ethics Review Committee. The complaint will then be taken to have been resolved under the Complaints Procedure.

4.2.2.2 If resolution cannot be reached at mediation

If the complaint is not resolved at the mediation, then the mediator will notify the Chairperson of the Ethics Review Committee and the Ethics Officer that the complaint could not be resolved, and the complaint will be referred to the Ethics Review Committee for an investigation and hearing according to 4.2.3.

4.2.3 Investigation and Hearing

4.2.3.1 Formation of a Hearing and Investigation Panel

If the Chairperson of the Ethics Review Committee, in consultation with the Ethics Officer, decides that a matter should proceed to a hearing and investigation, the Ethics Review Committee will arrange for a Hearing and Investigation Panel to be constituted. The Hearing and Investigation Panel must be constituted within thirty business days of this decision being made by the Chairperson of the Ethics Review Committee. The Hearing and Investigation Panel is appointed according to the Terms of Reference for the Hearing and Investigation Panel.

4.2.3.2 Notification to complainant

The Ethics Officer will notify the complainant in writing that a complaint has been referred by the Ethics Review Committee to a Hearing and Investigation Panel within ten business days of the Chairperson of the Ethics Review Committee making a decision to so refer that complaint.

4.2.3.3 Notification to respondent

The Ethics Officer will notify the respondent in writing that a complaint about the professional or ethical conduct of the respondent has been received and has been referred by the Ethics Review Committee to a Hearing and Investigation Panel within ten business days of the Chairperson of the Ethics Review Committee making a decision to so refer that complaint. The Ethics Officer will provide details of the complaint to the respondent.

A respondent must not contact (either directly or indirectly or through another person) the complainant or discuss any issue regarding the complaint with the complainant. If the respondent continues to provide professional services to the complainant, if practicable, the respondent might need to implement measures so that there is no opportunity for such discussions to occur.

4.2.3.4 Respondent writes a response to the complaint

The respondent will have twenty business days to respond to the complaint from the time he or she has received notification and details of the complaint. The respondent's response must be made in writing and addressed to the Ethics Officer.

Ordinarily, the respondent's response to the complaint will not be communicated to the complainant. However, if the Chairperson of the Hearing and Investigation Panel considers that it should be so communicated in the interests of giving all parties a fair hearing, the Chairperson of the Hearing and Investigation Panel may exercise a discretion to relay all or part of that information to the complainant via the Ethics Officer. If so, the complainant will have an opportunity to provide a response to the same via the Ethics Officer. Any such response given by the complainant will be communicated back to the respondent via the Ethics Officer.

The failure of a respondent to provide a response to the complaint or to otherwise cooperate with the investigation or hearing of the complaint at any stage of that process will not prevent the investigation and hearing from proceeding. In those circumstances, the investigation and hearing will proceed on the basis of information and evidence provided to and collected by the Hearing and Investigation Panel from other relevant sources and any information previously provided by the respondent.

4.2.3.5 Hearing and investigation opened

After the Ethics Officer has received a response from the respondent, the Ethics Officer will forward the respondent's response and all other relevant material to each member of the Hearing and Investigation Panel. The hearing and investigation will thereby be opened.

The Hearing and Investigation Panel must conduct its investigation within twenty business days of receiving the respondent's response to the complaint. The Ethics Officer will provide all other relevant information to the Hearing and Investigation Panel, including the complaint details and other material. During that period, it may meet as many times as it requires.

If it is deemed necessary by the Ethics Officer in consultation with the Chairperson of the Ethics Review Committee and to the extent that it is possible, the Hearing and Investigation Panel may be provided with only de-identified material regarding the complaint.

4.2.3.6 Meeting format

A Hearing and Investigation Panel may determine the most appropriate format for conducting its investigation and hearing. It may conduct its meetings by way of exchange of letters or emails, in person, by teleconference, by videoconference or any other means. Meetings will be conducted according to the Terms for Reference for the Hearing and Investigation Panel.

4.2.3.7 Investigation procedures

In investigating a complaint, the Hearing and Investigation Panel will consider the complaint, the respondent's response and any other relevant material.

The Hearing and Investigation Panel may do any of the following:

- At any time during its investigation and hearing, the Hearing and Investigation Panel may request additional information from the complainant or the respondent or from other sources, as appropriate, having regard to applicable privacy and confidentiality issues relevant to the involved parties. A Hearing and Investigation Panel will decide on a case by case basis whether any such additional information is relevant and should be disclosed to the respondent and/or the complainant and whether either of them (as the case may be) may provide a response to that information. All such communications between respondents, complainants and the Hearing and Investigation Panel will occur via the Ethics Officer.
- Interview the respondent in person, take statements from the respondent, the complainant or any other person, and accept further submissions from any party in relation to the complaint;
- Seek advice or support from the Chairperson of the Ethics Review Committee or the Ethics Officer; and/or

- Seek advice from an expert on any relevant issue or legal advice from a lawyer in relation to any issue regarding the complaint, this Complaints Procedure, or the Code of Conduct, subject to that person providing an undertaking of confidentiality (or otherwise being subject to an obligation of confidentiality). If the Hearing and Investigation Panel requires such advice, the Chairperson of the Hearing and Investigation Panel will request and arrange for the provision of the advice through the Ethics Officer.

The Ethics Officer will provide administrative support to the Hearing and Investigation Panel in respect of the above actions and activities and they will ordinarily be organised through the Ethics Officer.

As a respondent has a right of review or appeal, members of a Hearing and Investigation Panel should not discuss a complaint with other members of the Pool of Assessors who are not sitting on that Hearing and Investigation Panel.

The Ethics Officer, in consultation with the Chairperson of the Ethics Review Committee, may (but is not obliged to) extend any of the time periods specified in this Complaints Procedure if it is reasonable to do so and if it is necessary to ensure that the respondent is given a fair hearing. However, a time period will not ordinarily be extended merely because a party will be inconvenienced by having to comply with such a time period or might or has failed to comply because of his or her lack of diligence in meeting those timelines.

4.2.3.8 Possible outcomes of an investigation

At the conclusion of its investigation into a complaint, a Hearing and Investigation Panel must make one of the following findings:

A) The Hearing and Investigation Panel is of the view that the respondent has breached one or more of the principles of the Code of Conduct.

If the Hearing and Investigation Panel makes this finding, it will identify which specific principle(s) of the Code of Conduct the respondent has breached. Further, the Hearing and Investigation Panel will also make a recommendation as to whether the breach warrants the imposition of one or more of the sanctions specified in the following section “Sanctions that the Hearing and Investigation Panel may recommend” or whether it does not warrant the imposition of any sanction.

B) The Hearing and Investigation Panel is of the view that the respondent has not breached any of the principles of the Code of Conduct.

If the Hearing and Investigation Panel makes this finding, it may make such comments it deems appropriate regarding any action the respondent might take or refrain from taking in relation to the subject matter of the complaint, including comments regarding actions that might prevent a recurrence of such a complaint.

C) The Hearing and Investigation Panel did not have sufficient information to make a determination on whether the Respondent has or has not breached any of the principles of the Code of Conduct.

If the Hearing and Investigation Panel makes this finding, it may make such comments regarding the complaint as it deems appropriate in the circumstances.

In making any of the above findings or in making a recommendation as to the imposition of any sanction where a breach has been found, the Hearing and Investigation Panel must reach a unanimous decision. If it cannot reach a unanimous decision, the issue in respect of which such unanimous decision cannot be reached will be referred to the Chairperson of the Ethics Review Committee. The Chairperson of the Ethics Review Committee will facilitate the expression of each member’s opinion and identify areas of agreement. If the Hearing and Investigation Panel is unable to reach a unanimous decision with the assistance of the Chairperson of the Ethics Review Committee, the Chairperson of the Ethics Review Committee may determine that majority agreement of the members is sufficient and will apply in relation to the issue.

4.2.3.9 Sanctions that the Hearing and Investigation Panel may recommend

If the Hearing and Investigation Panel has made a finding that the respondent has breached any of the principles of the Code of Conduct, it may recommend the imposition of any one or more of the following sanctions:

- A) The respondent is formally warned and reprimanded;
- B) The respondent is required to undergo mediation, counselling or further education or training in relation to a particular issue or area;
- C) The respondent is placed on probation for a specified period of time which may include a period of supervised practice and/or a restriction on the practice areas or types of clients the respondent is permitted to consult;
- D) The respondent's membership is suspended for a specified period of time in accordance with the constitution of the applicable professional body(bodies);
- E) The respondent's membership and/or eligibility for membership is terminated or cancelled in accordance with the constitution of the applicable professional body(bodies); or
- F) Another specific sanction or directive approved by the Board(s) of the professional body(bodies) of which the respondent is a member.

If sanction B) is recommended, then the relevant Board(s) of the professional body(bodies) may choose to refer the matter for mediation according to 4.2.2.

In relation to any sanction it recommends, the Hearing and Investigation Panel will also specify, as appropriate:

- the date on which the sanction will commence;
- the timeframe during which the sanction applies and/or during which the respondent must complete the sanction; and
- whether and when the respondent must provide evidence of compliance.

4.2.3.10 Review of the findings and recommended sanctions to the Ethics Review Committee

The Chairperson of the Hearing and Investigation Panel will provide a written report to the Ethics Review Committee via the Ethics Officer detailing the Hearing and Investigation Panel's findings and its recommended sanctions (if any). The report must include reasons for the Hearing and Investigation Panel's findings and recommended sanctions and must be submitted to the Chairperson of the Ethics Review Committee within ten business days of the completion of the investigation and hearing.

4.2.3.11 Communication of findings and recommended sanctions to Boards of AudA and ACAud

The Ethics Review Committee will review the Hearing and Investigation Panel's findings and recommended sanctions within five business days of receiving the report. A meeting may be deemed not to be necessary by the Chairperson of the Ethics Review Committee, and the report may be reviewed via email or phone communication between the Chairperson and other members of the Ethics Review Committee.

If the Chairperson of the Ethics Review Committee does not receive any objections to the process employed by the Hearing and Investigation Panel (including whether it was objective and fair) from the Ethics Review Committee within five business days of receiving the report, then the Chairperson will forward the report to the Boards of AudA and ACAud after having notified the respondent that the report will be forwarded to both Boards, irrespective of membership.

If the Chairperson of the Ethics Review Committee receives any objections to the process employed by the Hearing and Investigation Panel (including whether it was objective and fair) from the Ethics Review Committee within five business days of receiving the report, then the Chairperson will decide whether:

- additional actions must be taken by the current Hearing and Investigation Panel in order to ensure that the process they have employed is in accordance with this Complaints Procedure; or
- a new Hearing and Investigation Panel must be formed, with all or some of the members replaced with new members drawn from the Pool of Assessors.

4.2.3.12 Adoption by the relevant professional body(bodies) in accordance with its constitution
The Board(s) of the professional body(bodies) of which the respondent is a member will consider the findings and recommended sanctions of the Hearing and Investigation Panel and may accept and adopt, or reject, in whole or in part any of those findings and recommended sanctions.

The relevant Board(s) will provide written notice to the Chairperson of the Ethics Review Committee of its decision regarding whether, and to the extent, it accepts that due process has been followed and adopts or rejects in whole or in part the recommended sanctions of the Hearing and Investigation Panel. The Board's decision will be consistent with, and the respondent will have any additional rights arising under, the constitution of the relevant professional body(bodies) regarding any sanction that is to be imposed in respect of the member. The Board may request advice or support from the Chairperson of the Ethics Review Committee in making this decision, including requesting an explanation of the process employed by the Hearing and Investigation Panel.

The Chairperson of the Ethics Review Committee will notify the Board of AudA in writing of any decision made by the Board of ACAud, and vice versa, within 24 hours of receiving the decision. The Chairperson of the Ethics Review Committee will also notify the Ethics Officer in writing of any decisions made by the Boards of the professional bodies within 24 hours of receiving the decision(s).

4.2.3.13 Notification of outcome to complainant and respondent

The Ethics Officer will notify the complainant and the respondent in writing of the outcome of the investigation and hearing of the complaint within two business days of the Chairperson of the Ethics Review Committee giving written notice to the Ethics Officer of any decision(s) of the Board(s) of the professional body(bodies) and any further requirements under the professional body's(bodies') constitution(s) having been met.

The notice to the complainant will provide such details of the outcome and sanctions as the Ethics Officer deems appropriate in the circumstances.

The notice to the respondent will detail the outcome and any sanctions imposed under this Complaints Procedure. It will also inform the respondent of his or her right to appeal the decision in accordance with section 5 of this Complaints Procedure.

4.2.3.14 Respondent's obligation to comply

A respondent must comply with any sanctions imposed under this Complaints Procedure. Where a time-period has been specified in relation to those sanctions, the respondent must comply with that timeframe.

The failure of a respondent to comply with any sanction imposed under this Complaints Procedure in the manner and time-period specified will be notified to the Board(s) of the professional body(bodies) of which the respondent is a member. The relevant Board(s) may do any of the following:

- Refer the matter to the Chairperson of the Ethics Review Committee so that the Hearing and Investigation Panel that originally investigated the complaint can consider whether it is necessary to make recommendations regarding any further sanctions. The Board may then accept and adopt any such recommendations made by the Hearing and Investigation Panel; or
- Itself impose any further sanctions it deems appropriate which are consistent with that professional body's constitution.

A decision of a professional body's Board becomes final as soon as the time-period for the making of a request for review has expired (see "Appeal Process" section). However, if the respondent requests a review of the decision, the decision does not become final until the review is completed.

4.2.3.15 Completion and monitoring of sanctions

The Ethics Officer will monitor a respondent's compliance with any sanction imposed under this Complaints Procedure.

If a sanction has been imposed upon a respondent under this Complaints Procedure which involves the performance or completion of a specific activity, the respondent is responsible for informing the Ethics Officer when he or she has fulfilled that sanction. Where relevant, the respondent must provide evidence of that performance or completion. The Ethics Officer will notify the Chairperson of the Ethics Review Committee and the relevant professional body(bodies) accordingly. The Ethics Officer will also notify any external bodies where such an obligation to report exists.

The Ethics Officer will monitor the completion of a sanction imposed upon a member under this Complaints Procedure which involves a specified time period - for example, suspension of membership for a specified period. When the relevant time-period has lapsed, the Ethics Officer will notify the respondent, the Chairperson of the Ethics Review Committee and the relevant professional body(bodies) accordingly.

4.2.4 Urgent, preliminary hearing of complaint

Despite anything in this Complaints Procedure, the Chairperson of the Ethics Review Committee may direct a Hearing and Investigation Panel to undertake an urgent, preliminary hearing of a complaint in any of the following circumstances:

- The complaint raises an issue which, in the reasonable opinion of the Chairperson of the Ethics Review Committee, suggests that there may be an imminent and serious risk to the health or safety of a member, a respondent, a client or any other person.
- All of the following apply:
 - A body or agency (including but not limited to Medicare, an ombudsman or a health services or privacy commissioner or similar) or a court or tribunal has imposed a sanction on, or taken any disciplinary action in relation to, the respondent.
 - The sanction imposed or disciplinary action taken by the body or agency or a court or tribunal is relevant to or affects the respondent's practice of audiology or audiometry.
 - The complaint relates to substantially the same issue(s) that such body, agency, court or tribunal determined.
- The respondent has been found guilty of a criminal offence.
- The complaint relates to an issue which, in the reasonable opinion of the Chairperson of the Ethics Review Committee, is likely to have a significant and adverse effect on the reputation of one or more of the professional body(bodies) and/or the professions they represent.

The Chairperson of the Ethics Review Committee may direct a Hearing and Investigation Panel to undertake an urgent, preliminary hearing of a complaint at any time after a complaint is made, including at any stage of an investigation or hearing of a complaint. The Chairperson, Ethics Review Committee may make such a direction on the basis of information (in whatever form) that is available to the Chairperson of the Ethics Review Committee at that time.

If the Chairperson of the Ethics Review Committee directs a Hearing and Investigation Panel to undertake an urgent, preliminary hearing, the Ethics Officer will inform the respondent and the complainant that the complaint has been referred for such hearing and the reason(s) it has been so referred. The Ethics Officer may inform the respondent and the complainant of these matters by telephone, by email, by letter or by any other method of communication that is appropriate in the circumstances.

The Hearing and Investigation Panel will conduct an urgent, preliminary hearing as soon as practicable after being directed to do so by the Chairperson of the Ethics Review Committee but in any case, within three business days. The Hearing and Investigation Panel will consider the matter on the basis of the information available to it at that time. The Hearing and Investigation Panel may consider information submitted in relation to the complaint, as well as information obtained from other sources. Given that an urgent, preliminary hearing is conducted in order to consider an issue which is of a serious or urgent nature, the respondent will not be given an opportunity to make any submission in relation to that hearing.

After completing the urgent, preliminary hearing, the Hearing and Investigation Panel will make a preliminary finding and recommendation in accordance with the principles of the foregoing sections. Where the Hearing and Investigation Panel considers it appropriate to do so, it may recommend the imposition of any of the sanctions listed in section 4.2.3.9.. The procedures relating to the communication of the Hearing and Investigation Panel's recommendations to the Ethics Review Committee and the relevant professional body(bodies) and the implementation of the Hearing and Investigation Panel's recommendation by the Board(s) of the relevant professional body(bodies) generally apply to an urgent, preliminary hearing, except that the relevant timelines are shortened to the extent necessary in the relevant circumstances.

Any sanction imposed on a respondent as a result of the conduct of an urgent, preliminary hearing will apply on a temporary and provisional basis. The sanction will apply, and the respondent must comply with the sanction, until the Hearing and Investigation Panel completes its investigation and hearing according to the processes described in the foregoing sections. The temporary and provisional sanction will be replaced by any sanction which is imposed on and notified to the respondent following completion of the Hearing and Investigation Panel's investigation and hearing under section 4.2.3.

The Ethics Officer will promptly inform the respondent and the complainant of the outcome of the urgent, preliminary hearing. The Ethics Officer may inform the respondent and the complainant of the outcome of that hearing by telephone, by email, by letter or by any other method of communication that is appropriate in the circumstances. The respondent must comply with any sanction imposed as a result of this process from the date the respondent is informed, or receives notice, of the outcome of the hearing.

Following the conclusion of the urgent, preliminary hearing and the notification of the outcome to the respondent and the complainant, the Hearing and Investigation Panel will then proceed to investigate and hear the complaint according to the processes and timelines described in the foregoing sections. The conduct of an urgent, preliminary hearing does not limit, affect or prejudice the conduct of an investigation and hearing by a Hearing and Investigation Panel under those sections.

5 Appeal process

A respondent or a complainant may, in accordance with this section, request a review of a decision of the Board(s) of the relevant professional body(bodies) in relation to a finding regarding breach of the Code of Conduct and any sanction imposed.

5.1 Requirements to satisfy for review request

A respondent or a complainant must submit a written request for review within twenty business days of receiving notification of the decision(s) of the relevant professional body(bodies) Board(s). The request must be made to the Ethics Officer.

The request for review must state the grounds on which review is being sought. A review of a decision made pursuant to this Complaints Procedure may only be sought on the following grounds:

- A) The investigation and hearing by the Hearing and Investigation Panel was not conducted in accordance with the Complaints Procedure.
- B) The Hearing and Investigation Panel did not comply with the principles of procedural fairness.
- C) The relevant Board(s) of the professional body(bodies) did not comply with the applicable constitution of that professional body.

The Ethics Officer will consult with the Chairperson of the Ethics Review Committee to determine whether the request for review satisfies the above requirements.

5.2 Notification of complainant and respondent

Within ten business days of receiving a request for review, the Ethics Officer will write back to the party who has requested the review indicating either of the following:

- That the request for review fails to satisfy those requirements and is therefore rejected; or
- That the request for review satisfies those requirements and will be referred to an Appeals Panel for review.

If a respondent or a complainant has been informed that their request for review has been rejected, the person may submit an amended request for review which satisfies the above requirements. However, such amended request must be submitted to the Ethics Officer within ten business days of receiving notification of the Ethics Officer's response to the original request.

The Ethics Officer will write to the complainant or respondent (whichever did not request the review) within ten business days of the decision being made to accept a request for review informing them that a request for review of the decision has been made and that the review will be conducted in accordance with this Complaints Procedure.

5.3 Formation of Appeals Panel

If a request for an appeal is accepted, the Chairperson of the Ethics Review Committee will arrange for the establishment of an Appeals Panel within ten business days of the decision being made to accept a request for review (under section "Requirements respondent must satisfy for review request"). The Appeals Panel will operate according to the Terms of Reference for the Appeals Panel.

The Ethics Officer will provide the Appeals Panel with all relevant material upon its establishment.

5.4 Review process of the Appeals Panel

The Appeals Panel must undertake its review within twenty business days of its establishment and the receipt of all relevant material. During that period, it may meet as many times as it requires. It may meet in the same manner that a Hearing and Investigation Panel may meet.

An Appeals Panel will ordinarily consider only the material before and considered by the Hearing and Investigation Panel. However, it may (but is not obligated to) consider additional, new material or evidence that is submitted if it is relevant and if it is just and reasonable in the circumstance to do so.

5.5 Function of Appeals Panel and possible outcomes of review

The Appeals Panel must decide whether any ground upon which the review was made is satisfied or is not satisfied. The review is limited to the ground(s) of review specified by the person requesting the review in his or her request for review.

The possible outcomes of the Appeals Panel review are a determination (as applicable) by the Appeals Panel of whether or not:

- A) the investigation and hearing by the Hearing and Investigation Panel was conducted in accordance with this Complaints Procedure;
- B) the Hearing and Investigation Panel complied with the principles of procedural fairness; or
- C) the relevant Board(s) complied with the applicable constitution of the professional body(bodies).

The Appeals Panel must reach a unanimous decision. If it cannot reach a unanimous decision, the issue in respect of which such unanimous decision cannot be reached will be referred to the Chairperson of the Ethics Review Committee and resolved in the same manner that a non-unanimous decision of the Hearing and Investigation Panel is resolved.

If the Appeals Panel determines that any of the principles in paragraphs A, B or C above have been violated, it may make such recommendations as it deems reasonable in relation to the relevant decision and sanctions (where applicable). Under these circumstances, the Chairperson of the Ethics Review Committee may re-open the complaint and form a new Hearing and Investigation Panel to review the complaint.

5.5.1 Communication of Appeals Panel findings and recommendations

The Appeals Panel will notify the Ethics Review Committee via the Ethics Officer of the Appeals Panel's decision by submitting a written report within ten business days of the completion of the Appeals Panel review.

The Ethics Review Committee will review the Appeals Panel's findings and recommendations within five business days of receiving the report. A meeting may be deemed not to be necessary by the Chairperson of the Ethics Review Committee, and the report may be reviewed via email or phone communication between the Chairperson and other members of the Ethics Review Committee.

If the Chairperson of the Ethics Review Committee does not receive any objections to the process employed by the Appeals Panel (including whether it was objective and fair) from the Ethics Review Committee within five business days of receiving the report, then the Chairperson will forward the report to the Boards of AudA and ACAud.

If the Chairperson of the Ethics Review Committee receives any objections to the process employed by the Appeals Panel (including whether it was objective and fair) from the Ethics Review Committee within five business days of receiving the report, then the Chairperson will decide whether:

- additional actions must be taken by the current Appeals Panel in order to ensure that the process they have employed is in accordance with this Complaints Procedure; or
- a new Appeals Panel must be formed, with all or some of the members replaced with new members drawn from the Pool of Assessors.

5.5.2 Adoption by the relevant professional body(bodies) in accordance with its constitution

The Board(s) of the professional body(bodies) of which the respondent is a member will consider the outcomes and any recommendations of the Appeals Panel and may accept and adopt, or reject, in whole or in part any of those outcomes and recommendations.

The relevant professional body(bodies) Board(s) will provide written notice to the Chairperson of the Ethics Review Committee of its decision regarding whether, and to the extent, it accepts and adopts the outcomes and recommendations of the Appeals Panel. The Board's decision will be consistent with, and the respondent will have any relevant rights arising under, the constitution of the relevant professional body regarding any sanction imposed.

The Chairperson of the Ethics Review Committee will notify the Board of AudA in writing of any decision made by the Board of ACAud, and vice versa, within 24 hours of receiving the decision. The Chairperson of the Ethics Review Committee will also notify the Ethics Officer in writing of any decisions made by the Boards of the professional bodies within 24 hours of receiving the decision(s).

5.5.3 Notification of outcome to Complainant and Respondent

The Ethics Officer will notify the complainant and the respondent in writing of the outcome of the review of the complaint within two business days of the Chairperson of the Ethics Review Committee giving written notice of any decision(s) of the Board(s) of the professional body(bodies) and any further requirements under the professional body's(bodies') constitution(s) having been met.

5.5.4 Decision final and determinative

The outcome following a review by the Appeals Panel will be final and determinative of the issue. A respondent or a complainant has no further right of review under this Complaints Procedure.