

## Complaints Policy and Procedure for Speckle Park International Limited

### 1. Application

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All members of Speckle Park International Limited (**SPI Ltd**) must comply with this SPI Ltd Complaints Policy and Procedure (**Policy**) and agree to do so upon becoming a member or renewing their membership.

### 2. Making a Complaint

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- a) Any complaint, relating to an SPI Ltd matter or the registration of an animal or dealing with a registered animal, about a member or board member or a person or matter related to the business of SPI Ltd will be reduced to writing by the complainant and contain the particulars of any allegation/s on which the complaint is founded.
- b) The complaint must then be submitted, together with substantiating proof of the allegation/s on which the complaint is founded, to the Chair of the board of SPI Ltd. The Chair may delegate responsibility to a board member or executive officer, or in exceptional cases, an external party, (**Investigator**) for investigating and resolving complaints. The board may take over resolution of a complaint at any time upon its own initiative or at the request of the Investigator.
- c) The following principles apply to this Policy:
  - i) all parties will receive procedural fairness;
  - ii) complaints will be handled in a courteous and respectful manner and no adverse action will be taken against any good faith complainant, provided that complainants have a duty to act in good faith, assist the investigation and not make complaints for an improper purpose; and
  - iii) complaints will be resolved in a timely manner as circumstances allow.

### 3. Procedure for processing complaints

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- a) A complaint will not be accepted or investigated if it is frivolous, vexatious or not made in good faith or relates to conduct which has no connection or only an insubstantial connection with SPI Ltd. Unless exceptional circumstances exist, anonymous complaints will not be accepted or investigated.
- b) Within 3 working days of the complaint being received and accepted, the Investigator will endeavour to write to the complainant acknowledging receipt of the complaint.

- c) A complaint may be withdrawn at any time and if withdrawn the investigation into the complaint will cease unless the Investigator considers the matter should be continued.
- d) The Investigator will begin investigating the complaint within 5 working days of the complaint being received.
- e) In conducting the investigation, the Investigator may (without limitation):
  - i) Provide a notice in writing to the complainant requesting further particulars or substantiating proof of the allegations on which the complaint is founded;
  - ii) Attempt to resolve the complaint by reconciliation or mediation pursuant to clause 21 of the Constitution if applicable;
  - iii) Dismiss the complaint because it is frivolous, vexatious, misconceived or otherwise lacking in substance; and/or
  - iv) Conduct a hearing into the complaint.
- f) Complainants and members must cooperate in good faith with any investigation and provide full assistance to the Investigator.
- g) If the complaint is made against a board member then that board member must exclude themselves from all discussion at board level concerning the complaint (except to respond to queries and to put their submissions to the Investigator) and must not be involved in the determination of the complaint.
- h) The Investigator will for all complaints which may harm the reputation of SPI Ltd, make a recommendation to the board for an outcome of the complaint, and follow the board's directions in relation to the complaint.
- i) At any stage of this process, a complaint investigation may be suspended or ceased and the matter referred to the board for a disciplinary procedure pursuant to clause 22 of the Constitution if appropriate. If this occurs the Investigator will notify the complainant.
- j) If, after conducting a hearing into a complaint made against a member or board member, the Investigator finds that the complaint is substantiated, they may take any one or more of the following actions (subject to paragraph h):
  - i) Dismiss the complaint in view of any extenuating circumstances relevant to the matter;
  - ii) Issue a caution in writing to the member or board member; and/or
  - iii) Issue a direction in writing to the member or board member to rectify the breach, specifying the manner in which the breach is to be remedied.

- k) If the Investigator does not find the complaint substantiated, they will dismiss the complaint.
- l) The Investigator will aim to resolve each complaint with 42 days of receiving it.
- m) The complaint will be kept confidential on a need to know basis so far as is possible provided that exceptions to the requirement of confidentiality will apply:
  - a. as required to action the complaint and for proper corporate governance;
  - b. as required by law;
  - c. to seek professional or technical advice;
  - d. to speak with witnesses or other people who may be able to assist in the resolution of the complaint; or
  - e. for use in a related disciplinary matter, if applicable.
- n) Within 7 days of a decision being made, the Investigator will give a written statement of the decision to both the complainant and the member or board member against whom the complaint was made, including brief reasons for the decision.
- o) If a member or board member about whom a complaint is made does not appear at any hearing into the complaint, the Investigator may deal with the complaint in their absence.
- p) No matter or thing done or omitted by the Investigator or by any other person acting in accordance with a resolution of the Board subjects the Investigator, the Board, SPI Ltd or the person to any liability if the matter or thing was done or omitted in good faith for the purpose of implementing this procedure, SPI Ltd Rules and Regulations and/or Constitution for the determination of complaints and the disciplining of members and board members.
- q) A register of complaints will be maintained which records:
  - a. whether a complaint is accepted or rejected;
  - b. the complaint documentation; and
  - c. the outcome of each complaint.
- r) The register will only be accessible for a reasonable and good faith purpose, for example, for consideration in a related disciplinary matter or a related complaint matter.