

SOLAR RETAILER CODE OF CONDUCT

COMPLAINTS PROCEDURE FOR RECTIFICATIONS

This document details the process by which the Code Administrator will respond to minor non-compliance of the Solar Retailer Code of Conduct (the Code).

There are 2 types of non-compliance that the Code Administrator will action:

Alleged Breach – Any serious non-compliance of the Code. Please refer to the Solar Retailer Code of Conduct Complaints Procedure document on how to process these breaches.

Rectification – Any minor non-compliance of the Code. These procedures should be followed.

The Code Administrator, as defined in the Solar Retailer Code of Conduct, means the Clean Energy Council.

1. Alleged non-compliance

1.1 Alleged non-compliance of the Solar Retailer Code of Conduct can be raised via:

- a) self-reporting by Code signatories;
- b) consumers emailing the Code of Conduct inbox directly;
- c) consumers using the complaints form available on the CEC website at <http://www.solaraccreditation.com.au/retailers/complaints-form.html>; or
- d) any other person or body using the above complaints form or directly emailing the Code of Conduct inbox.
- e) Evidence of alleged breaches can also be taken from any other source, including:
 - i. proactive audit compliance checks;
 - ii. mystery shopping;
 - iii. feedback from consumers obtained through consumer satisfaction surveys;
 - iv. investigation of cases in which signatories may have breached the Code;
 - v. analysis of conciliation and arbitration cases;
 - vi. analysis of consumer complaints;
 - vii. media reports;
 - viii. renewal process
 - ix. information received from other Code signatories; and
 - x. any additional sources.

1.2 All communication will be recorded in full and retained on electronic file by the Code Administrator in P:\10 Code of Conduct\05. Complaints & Breaches and Salesforce.

- 1.3 Written acknowledgment of receipt of a complaint will be sent to the complainant within three business days of the Code Administrator receiving the complaint.
- 1.4 Having lodged a complaint with the solar retailer or the relevant consumer protection organisation, the complainant may still lodge a complaint regarding an alleged breach of the Code with the Code Administrator.
- 1.5 If the Code Administrator determines that the alleged behaviour does not fall within its jurisdiction as the retailer is not an Approved Solar Retailer or the complaint does not relate to the Code, the Code Administrator will:
 - a) pass the complaint to the Installation Integrity team to investigate any potentially poor workmanship by an Accredited Installer;
 - b) inform the complainant within five business days of receiving the complaint that he or she should redirect the complaint to the relevant body, for example, the solar retailer or, if the consumer is unsatisfied with the resolution of a complaint by that retailer, to the relevant consumer protection agency.
- 1.6 If the Code Administrator determines that the alleged behaviour is minor non-compliance from an Approved Solar Retailer, section 2 of these procedures will be followed.

2. Processing minor non-compliance

- 2.1 Where the Code Administrator determines that minor non-compliance of the Code has occurred, they will provide the signatory with:
 - a) an email notifying them of minor non-compliance of the Code;
 - b) request to rectify minor breach; and
 - c) summary of how many rectifications have been recorded against signatory in past 12 months
- 2.2 The name of the complainant is not required for minor non-compliance.
- 2.3 The signatory will have 7 days from the date of being notified by the Code Administrator to provide written explanation confirming:
 - a) the action it has taken to rectify the breach; and
 - b) the breach will not occur again.
- 2.4 Signatories may dispute the allegation made against it but must provide strong evidence to support its position. The Code Administrator will investigate the matter further and can choose at their discretion whether a rectification is still required or to dismiss the matter.
- 2.5 The Code Administrator will then confirm the issue has been rectified to the signatory and the complainant. As this is considered a minor non-compliance no sanction will be imposed.
- 2.6 When a signatory has been issued 3 written rectification requests due to minor non-compliance in a 12-month time period, the 3rd rectification will automatically be treated as a breach.

3. Data collection and reporting

- 3.1 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:

- a) collating relevant data from state and federal consumer protection agencies;
and
 - b) collating complaints data supplied by Code signatories.
- 3.2 This data 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. A regular summary of this data will be reported to the Code Review Panel by the Code Administrator.
 - 3.3 All investigations of alleged breaches that result in a sanction or rectification will be recorded on Code Complaints spreadsheet and in Salesforce.
 - 3.4 All investigations of alleged breaches that result in a sanction or rectification will also be available on Code website as follows:
Rectification – Will be listed on Current Complaints table under Rectification heading. No company name listed.
Breach: Will be listed on Current Complaints table under Breach heading. No company name listed.
Breach resulting in Suspension: – Will be listed on Suspensions table. Signatory name, Complaint Reason and date of suspension will be listed.
Cancellation – Will be listed on Cancellations table. Signatory name, Cancellation Reason and date of cancellation will be listed.
Appeals – Will be listed on Suspensions table. Date of hearing and outcome of appeal will be listed.
 - 3.5 De-identified report of sanctions that have been imposed for breaches of the Code will be reported on Code website.
 - 3.6 This Rectifications Procedure will be analysed in the annual review of the Code by the Code Review Panel or as requested by Code Administrator.
 - 3.7 This procedure will be located on the Solar Accreditation website at <http://www.solaraccreditation.com.au/retailers/complaints-form.html>.

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