

## **AISP – Professional Standards: Compliance & Complaints Policy**

1. The Association of Investigators and Security Professional (AISP) is committed to the development and maintenance of the highest professional standards. The policy defines the complaints, compliance and audit processes of the Association.
2. The conduct of the association and its members is governed by the Objects of Association, the Rules of Association and the Code of Ethics.
3. Any actual or alleged breach of the Objects of Association, the Rules of Association or the Code of Ethics will be addressed by the Committee under the following provisions:
  - a. Objects clause 3(b): To regulate the relations between members of the Association in order to maintain a contented and loyal Association.
  - b. Objects clause 3(e): To use or make provisions for or organise the use of any lawful means in dealing with any matter which may affect the welfare of the Association's members.
  - c. Objects clause 3(f): To watch over and control the conduct of its members and insist on prompt and diligent execution of their duties by them so that the membership of the Association may be regarded as assurance of fidelity and strict attention to duty.
  - d. Objects clause 3(h): To promote a high standard of ethics of members in the performance of their duties.
4. The authority of the Committee to decline a membership application or disbar a person from membership is included in, but not limited to, the following Rules:
  - a. Rules clause 6(c): Any applicant who knowingly supplies false or misleading information or who fails to disclose previous relevant history or details shall be disbarred from membership of the Association.
  - b. Rules clause 6(f): Any applicant who is admitted to membership must have no previous criminal history or convictions of a serious nature and must be deemed to be of good character and nature.
5. The Committee will uphold the professional standards of the industry and the Association in respect to breaches of the Code of Ethic by applying the following provision of clause 11 of the Code:

- a. Failure to strictly observe and adhere to the Code will render the member liable to expulsion from the Association.
6. The Committee will apply the following process, as defined in clauses 28 and 29 of the Rules, when addressing an allegations of misconduct by a member:
  - a. A complaint or allegation of misconduct must be made in writing, delivered to the Secretary and signed by the person making the complaint.
  - b. A complaint or allegation of misconduct may allege a member has wilfully infringed any of the Rules, Regulations or By-laws of the Association, or engaged in any dishonourable conduct, disobedience disloyalty or misapplication of funds, or acted detrimentally to the interests of the Association and its members, or is guilty of conduct calculated in the opinion of the General Committee to bring the Association into disrepute or financial loss.
  - c. The Committee will assess if it would be fair and reasonable to pursue an investigation. If there is a reasonable basis to consider that it would be a breach of the principles of natural justice or procedural fairness to pursue the investigation or ask the member to respond, it will not pursue the investigation. For instance, if the Committee decided the complainant was a vexatious litigant or had grounds to believe the complainant was not acting in good faith in lodging the complaint, then it would be a breach of natural justice principles to require the member to respond to the matter. In such a case the Committee would write back to the complainant and advise the complainant that it had decided not to continue with an investigation.
  - d. The Committee may also choose to advise the complainant to seek resolution through mediation or the Office of the Small Business Commissioner, the Department of Justice, Victorian Dispute Settlement Centre, or other such avenues first. Then, if such avenues are not successful in resolving the dispute, invite the complainant to request the assistance of that Committee at that time.
  - e. The member against whom a complaint or allegation has been made shall be notified in writing of the allegations brought against him/her, and requested to explain his/her conduct, and to appear before the General Committee at a date to be fixed.
  - f. In the event of the member neglecting to give an explanation within thirty days of receipt of such notice, or not appearing before the

General Committee or his/her explanation being deemed unsatisfactory by the General Committee, he/she may be fined an amount to be determined by the committee, suspended or expelled by the General Committee, and if expelled from the Association, he/she shall ipso facto cease to be a member of the Association.

7. Upon each renewal of membership every member will be required to sign an acknowledgement that he/she has not breached the Rules, Object, Code of Ethics and Professional Development requirements of the Association.
8. Every member will be required to respond, in a manner that is considered satisfactory to the Committee, with a compliance audit when requested in writing to do so. The compliance audit will be limited to issues confirming the member has complied with the Rules, Object, Code of Ethics and Professional Development requirements of the Association.