

8. Are the offences accurate and identified?

☒ Yes ☐ No

Instructions:

9. Is the legal entity correct?

☒ Yes ☐ No ☐ N/A

Instructions:

### Investigation management

10. Is an investigation plan on file? ☒ Yes ☐ No ☐ N/A *checklist*

11. Has an Evidence Matrix been completed (BI ONLY)? ☐ Yes ☒ No ☒ N/A

If no, is a draft plan or matrix required? ☐ Yes ☒ No ☐ N/A

Due Date: \_\_\_\_\_

Instructions:

12. Have all avenues of inquiry been considered? ☐ Yes ☒ No

*need further information and advice*

13. Is a suitable investigation methodology still being applied? ☒ Yes ☐ No

Instructions:

14. Is the evidence obtained to date sufficient? ☒ Yes ☐ No ☐ N/A

15. Was it lawfully obtained? ☒ Yes ☐ No ☐ N/A

Instructions:

16. Is evidence kept in accordance with internal policy? ☒ Yes ☐ No ☐ N/A

Instructions:

17. Have all critical decisions been recorded? ☒ Yes ☐ No ☐ N/A

Instructions:

18. Can the matter be progressed? ☒ Yes ☐ No

Due date for investigation summary: TBA

19. What enforcement action is being considered?

CAL/Warning

Has natural justice been afforded to the trader: ie: opportunity to respond to allegations, offer of interview etc.?

☐ Yes ☒ No

If no, approximate date officer will interview trader? TBA advice will be provided by PCO.

#### File management

20. Has an Index of information been created? ☐ Yes ☒ No ☐ N/A

Due date: 26 May 2016

21. Has all relevant material been included in the index? ☐ Yes ☒ No ☐ N/A

Instructions:

22. Is the officer recording activity notes on MACS?

☒ Yes ☒ No ☐ N/A

Due date: 26 May 2016

23. Are all documents saved in INVWP under appropriate industry file path?

☒ Yes ☐ No ☐ N/A

#### Broader issues to be raised by APCO to PCO

24. Does this matter raise systemic industry issues which need to be reported to management?

☐ Yes ☒ No ☐ N/A

Issues:

25. Does this matter raise any legislative or policy issues which should be considered further?

☐ Yes ☒ No ☐ N/A

Issues:

Reviewer (sign): 

Position title: Principal Compliance Officer

Investigator (sign): \_\_\_\_\_

# C File Timeframes

## ASSESSMENT CHECKLIST

- Correct T Organisation?
- Data Integrity
  - C details
  - T details
  - Description (incl keywords)
  - Dates
  - Codes
- QLD Matter?
- Checked printouts / intel. gathered
- Do we need evidence / further documentation?
- Does this need to be referred?

### Legislation

- ACL:
  - False or misleading representations
    - goods or services
    - employment
    - rebates, gifts, prizes
    - bait advertising
    - country of origin
  - Unsolicited supplies
    - cards
    - goods/services
    - blowers
  - Pyramid schemes/Referral selling
  - Pricing
  - Harassment and coercion
  - Consumer guarantees
    - Goods and Services
    - Repairs, spare parts
  - Unsolicited Consumer Agreements
    - In person
    - By phone
    - Shopping centre
    - Competition
  - Lay-by
  - Proof of transaction/itemised bill
  - Repair notices
  - Safety standards
  - Is C a Consumer?
    - Is it relevant?
- PAMDA – Real Estate
  - Motor Dealing
  - Auctioneering
  - Property Developers
  - Commercial Agents
  - Pastoral Houses
  - Trust Accounts
  - Code of Conduct
- ASSOC
- Charities
- Sec. Provider
- SHD & Pawnbrokers
- Introduction Agents
- Fitness Industry COC

- Update MACS changes
- Update MACS allocations
- Check AA complaints folder
- Trader History Check

Day 1

Date Rec'd: \_\_\_\_\_

Day 3

Logged MACS: \_\_\_\_\_

Assessed: \_\_\_\_\_  
 \_\_\_\_\_ (initial)

Allocated Office: \_\_\_\_\_

Allocated Officer: \_\_\_\_\_

Day 10

Complainant Acknowledged \_\_\_\_\_

If complaint is linked to INV:

☐

Linked on MACS

☐

ACK letter sent

☐

Emailed INV to admin staff

Delivered to PAMDA admin

Signed \_\_\_\_\_

Date \_\_\_\_\_

Day 30

Aim to Finalise \_\_\_\_\_