

Complaints and Dispute Resolution Procedure (CPE)

01 August 2020

Version 1.0

Document Number	BMSDOC-18-2015
Document Owner	GM Operations
Due Date for Review	1/08/2021

Review Required by:

- | | |
|--|--|
| <input checked="" type="checkbox"/> Engineering Operations | <input checked="" type="checkbox"/> Corporate Services |
| <input checked="" type="checkbox"/> Network Operations | <input checked="" type="checkbox"/> Finance |
| <input checked="" type="checkbox"/> Safety & Compliance | <input checked="" type="checkbox"/> Business Development |
| <input checked="" type="checkbox"/> Project Manager Tonsley | <input checked="" type="checkbox"/> Plant Manager Mascot |
| <input checked="" type="checkbox"/> Plant Manager Central Park | <input checked="" type="checkbox"/> Commercial |
| <input checked="" type="checkbox"/> CEO | <input checked="" type="checkbox"/> CPE |
| <input checked="" type="checkbox"/> COO | <input checked="" type="checkbox"/> Legal |

Applicable to:

- | | |
|--|--|
| <input checked="" type="checkbox"/> CleanPeak Energy Pty Ltd | <input checked="" type="checkbox"/> CPE Mascot |
| <input checked="" type="checkbox"/> CPE Tonsley | <input checked="" type="checkbox"/> CPE Central Park |
| <input checked="" type="checkbox"/> Other: All CleanPeak Entities & Subsidiaries | |
-

**Complaints and Dispute Resolution Procedure
(CPE)**

Document History

Version No.	Published Date	Description of Change
1.0	01 August 2020	New document.

References

Cited in this Document

Title	Document Number
Complaints and Dispute Resolution Policy	BMSDOC-18-1912
Complaints Procedure Flow Chart	BMSDOC-18-1351
Complaints Register	
Customer Charter	BMSDOC-18-1301
Customer Charter (Non-Drinking Water) Tonsley	BMSDOC-18-1930
Customer satisfaction—Guidelines for complaints handling in organizations (MOD)	AS ISO 10002-2006
Good Practice Guide, Victorian Ombudsman's Guide to complaint handling for Victorian Public-Sector Agencies	November 2007

Additional Reading

Title	Document Number
N/A	

Complaints and Dispute Resolution Procedure (CPE)

Table of Contents

1. GENERAL	4
1.1 SCOPE	4
1.2 OBJECTIVE.....	4
1.3 DEFINITIONS.....	4
2. COMPLAINTS REGISTER	4
3. THE COMPLAINT PROCESS	4
3.1 INITIAL REGISTRATION AND ACTION OF THE COMPLAINT.....	4
3.2 NOTIFICATION TO THE TEAM LEADER	5
3.3 LIVE WORK ITEM.....	5
3.4 UPDATING THE LIVE WORK ITEM.....	5
3.5 COMPLETION WITHIN 5 WORKING DAYS	5
3.6 LIVE WORK ITEM DETAILS TO BE COMPLETED	6
3.7 CPE CUSTOMER SERVICE FIRST POINT RESOLUTION.....	6
3.8 NETWORK COMPLAINT RECEIVED BY CPE	6
3.9 OMBUDSMAN CASES	7
3.10 LETTERS SENT AND SAVED	7
3.11 CLOSE THE WORK ITEM DETAILS	7
3.12 OUTCOME.....	7

Complaints and Dispute Resolution Procedure (CPE)

1. GENERAL

1.1 Scope

This procedure applies to CPE Mascot, CPE Central Park and CPE Tonsley, subsidiaries of CleanPeak Energy Pty Ltd and other members of the CPE Renewable Investment group (collectively **CPE**).

1.2 Objective

The objective of this procedure is to ensure the CPE's Customer Service team adhere to the *Complaints and Dispute Resolution Policy* (BMSDOC-18-1912) at all times.

1.3 Definitions

Term	Description
CleanPeak Energy (CPE)	CleanPeak Energy Pty Ltd includes, but is not limited to, the following entities: <ul style="list-style-type: none">• CPE Funding Pty Ltd• CPE Central Park• CPE Funding No. 2 Holdings Pty Ltd• CPE Tonsley• CPE Mascot
CSRs	Customer Service Representatives
S&C	Safety and Compliance
GM	General Manager

2. COMPLAINTS REGISTER

The CPE Customer Service Representatives (CSRs) are the first point of contact for complaints via two channels:

- Phone
- Written letter / email

The CSR team must ensure the Complaints Register is actioned at all times by following the *Complaints Procedure Flow Chart* (BMSDOC-18-1351), which supports the two channels of receiving complaints.

3. THE COMPLAINT PROCESS

When the CSR has received the complaint, and has the initial details, the Complaint Register must be started. Each complaint is given a complaint number in sequential order as listed at the top of the Excel page / column.

The overall definition of a complaint is:

"An expression of dissatisfaction with a specific action or service of an agency, including the failure by an agency to comply with its public service charter or mission."

Note. Please see the Good Practice Guide, the Victorian Ombudsman's Guide to Complaint landline for Victorian Public-Sector Agencies and Australian Standard AS/NZS 10002-2014 - Guidelines for complaints management in organisations. This guide is based on the current Australian Standard. This guide helps educate and embed how best we can manage and support our valued customers with complaints.

3.1 Initial Registration and Action of the Complaint

Details to be completed after the initial call and or reading of the letter / email are:

- Date of complaint
- Time (if given)

Complaints and Dispute Resolution Procedure (CPE)

- Type of installation (RES, COM, IND)
- How complaint received – phone, letter or email
- Date received in CPE
- Complaint on: Mascot, Central Park, Tonsley
- Complainant's details
- Complainant's name
- Organisation (if relevant)
- Address 1
- Address 2
- Phone numbers, fax and email
- Summary and details of complaint
- If due to an event, the event time, date and location
- Name and position title of the CSR investigating the complaint.

3.2 Notification to the Team Leader

Once initial details are completed within the Complaints Register please notify the Team Leader via email of the complaint including:

- Complaint Live Item Number.
- Overview of complaint and suggested outcome for commencement review and outcome for the customer within 5 working days.

Notes placed on customers account and follow up dated (if applicable).

3.3 Live Work Item

The Complaints Register is then a Live Numbered work item and must be updated whilst receiving updates, outcomes and letters posted to the complainant at completion.

3.4 Updating the Live Work Item

Complaints can then be split into two categories:

- Completed over the phone, or
- After investigating and follow-up calls, a letter is posted with outcomes.

As the CSR is completing the complaint over the phone or receiving updates and support from business partners, the Complaint Register must be updated to ensure the CPE Customer Service team and CleanPeak Energy can review at any time.

3.5 Completion within 5 Working Days

All complaints received by CPE have a completion turnaround of 5 working days unless elevated to the Ombudsman. This date is recorded within the Complaints Register:

- Enter date on the Complaint Register within the box named 'Target Date Resolution'.
- Once the case is closed, the date entered at 'Date Complaint Closed' must be within 5 working days.
- If the date is outside the 5 working days, this will be recorded on the monthly stats.

Complaints and Dispute Resolution Procedure (CPE)

3.6 Live Work Item Details to be Completed

- Key actions to resolve complaint.
- Target date for resolution (within 5 working days).
- Key area affected: Safety, Environment, Harassment, Discrimination, Quality, Financial, Other (list).
- Date to follow up letter to complainant.
- Date elevated to Ombudsman (if required).

3.7 CPE Customer Service First Point Resolution

The Customer Service team will first attempt to resolve complaints by customers within 5 working days before the complainant has the opportunity to have the issue dealt with by the Ombudsman.

3.8 Network Complaint received by CPE

- A complaint is received from customer/ member of the public in regard to CleanPeak Energy's Networks.
- Advise customer that all details of the complaint will be recorded and forwarded to the network provider for a response.
- Be aware that under the Retail Code, CPE are required to liaise directly with the customer on behalf of the network provider so that the customer should not have to deal with them. Full consent must be obtained from the customer that they are happy to talk directly with the network provider.
- Request approval from the customer to provide the network provider with their name, contact details and details of the complaint. Request an email address from the customer for the network provider to respond to. Advise the customer that the network provider may respond directly where it is more practical for them to do so.
- If the customer wishes to contact the network provider directly provide them with the contact details for Safety and Compliance team 1300 038 069 or service@cleanpeakenergy.com.au. Advise the customer that the issue will be followed up with them within 3 days to track the progress.

If the complaint is from a current CPE customer, add details of the complaint to the customer's account and set a follow-up reminder memo.

If the customer does not want to communicate directly with the network provider, CPE staff will liaise on the network provider's behalf and the network provider must be specifically advised of this and asked not to contact the customer directly.

- Email all details of the complaint to service@cleanpeakenergy.com.au
- Once the network provider have received the complaint they will register the complaint in their Complaints Register and email CPE advising the complaint is registered/received.
- Move all corresponding emails, to and from the network provider, into the Complaints folder in Outlook.
- Add details to the Complaints Register under the "complaints Networks" tab.
- Once the network provider has advised the complaint has been resolved, update the customer's record by putting a memo on the customer's account to reflect that the complaint has been closed by the network provider.

Complaints and Dispute Resolution Procedure (CPE)

3.9 Ombudsman Cases

If a customer's case is elevated to the Ombudsman, the Ombudsman will formally contact the business. This is usually via an initial telephone call to either the GM Operations or the S&C team informing them of the complaint and requesting information. Depending on the nature of the complaint this may be followed subsequently with further communication from the Ombudsman requesting information or setting out actions to be taken.

- The recipient of the Ombudsman contact will inform the Management Team and the CPE Team Leader of the complaint and relevant action to be undertaken.
- CPE will respond to all requests for information from the Ombudsman as a priority task and provide information either directly to the Ombudsman via email within 1 business day of receiving the request, or via the Manager S&C if requested to do so.

The Management Team are to be kept informed as to progress.

S & C please note:

- *Once the case is finalised and the manager dealing directly with the Ombudsman has received notification that the matter has been settled to the Ombudsman's satisfaction, they will notify the CPE Team Leader that the case can be closed. Until then the close date field should be left blank (refer to 'Close the Work Item Details' section below).*
- *These close dates may be outside the 5 working days; however, because they were actioned by the CPE Customer Service team within 5 working days of receipt by CPE, they can be considered closed within the 5-day period.*

3.10 Letters Sent and Saved

Ensure that, at the time all letters are sent by the CPE team, they have been signed off by the immediate supervisor and the letters are saved within the Complaints Responses Month/Year folder.

3.11 Close the Work Item Details

- Enter and complete the 'Date Complaint Closed'.

3.12 Outcome

At all times, the CPE Customer Service team will follow the *Complaints and Dispute Resolution Policy* and *Complaints Procedure Flow Chart*, ensuring that valued customers, team and business partners are carefully managed and kept up to date at all times within the 5-day working period.

Success will be measured by resolving all complaints without the need to involve external mediators.