

Complaints handling

Energy Safe Victoria

Procedure

1 Purpose

The purpose of this procedure is to describe how ESV responds and acts on complaints received. ESV receives complaints about industry and about ESV.

2 Scope

The procedure applies to all ESV staff, particularly those who deal with external complaints. This procedure is subordinate to the Complaints Handling Policy.

3 Definitions

The following table lists key terms used in this document and provides a definition to explain their meaning.

Term	Definition
Case manager	The person who is assigned the task of resolving the complaint. This person may be a general manager, section manager or any other relevant employee.
Complaint ID	Unique identifier for each complaint, CR-xxxx
Complaints Coordinator	The ESV employee responsible for assessing, triaging and managing complaints, corresponding with the Complainant and allocating to others for resolution.
Complaints handling system	The way individual complaints are dealt with by ESV including the policy, procedure and technology used.
Internal review	Review by a general manager or section manager, or other nominated person, of a complaint already processed by ESV. Available upon request only following the closure of a complaint.

4 Procedure

This procedure describes the complaint handling process, from receiving the complaint, to complaint resolution and post-resolution review.

4.1 Receiving the complaint

The Complaints Coordinator receives a complaint in one of two ways:

1. Directly - the complaint is submitted directly via email, online form, post or fax, or via phone from a complainant who is unable or unwilling to submit a written complaint to ESV. The Complaints Coordinator will complete the online form on behalf of the complainant.
2. Indirectly - the complaint is received indirectly from other ESV employees or other agencies that have forwarded details of a complaint. ESV employees who receive complaints directly via phone should ask the complainant to provide a written submission to ESV (preferably online), or transfer the complainant to the Complaints Coordinator.

All complaints submissions are recorded by the Complaints Coordinator and allocated a Complaint ID.

4.2 Assessing the Complaint

The Complaints Coordinator will assess each complaint submission to determine if there is an immediate safety risk. Complaints that are assessed as immediately dangerous are escalated. Other complaints will be assessed and prioritised for review.

Complaints that involve a licensed electrical installation worker (LEIW) may prompt an investigation into the LEIW's work and a review of the licence holder's records.

If ESV is not the appropriate agency to respond, the complainant will be referred to an appropriate agency. Complaints that are not relevant to ESV will be closed and the complainant will be notified.

If more information is required, the complainant will be requested to provide it. If the required additional information is not available or not provided, the complaint may be closed and the complainant notified of the outcome. Any additional information received will be added to the complaint record.

4.3 Reviewing the complaint

The complaint can be reviewed and investigated by different ESV employees, depending on the outcome of the initial assessment. Some complaints may be resolved by the Complaints Coordinator. Complaints which require technical knowledge will be assigned to the part of ESV best able to assess the complaint.

4.3.1 Review by a section manager

If the complaint identifies possible breaches or safety issues that may require further investigation, the complaint will be allocated to the appropriate section manager for review and the complainant notified.

A section manager may handle the matter themselves, allocate a case manager from their section to make further enquiries or allocate the complaint to another section manager. The section manager will determine the priority of the complaint before allocating it to a case manager

4.3.2 Review by senior manager

If the complaint is about an ESV employee, the Complaints Coordinator allocates it to the most senior manager of that employee's division. ESV will aim to resolve complaints about ESV employees within four weeks; the complainant will be contacted if additional time is required.

4.4 Investigating the complaint

The section manager is responsible for prioritising the complaint.

The case manager may conduct interviews and site visits, and will record their finding and any action taken. Other ESV employees may assist the case manager with the complaint investigation.

The case manager is responsible for communicating with the complainant about the complaint while investigating the complaint.

4.5 Closing the complaint

At the completion of the complaint review or investigation, the Complaints Coordinator may advise the complainant of resolution by correspondence. The complainant will be informed if formal legal proceedings are undertaken, and the complaint will be closed. The complainant will be advised that we publish information about prosecutions in the EnergySafe magazine.

The resolution letter may provide an opportunity for the complainant to request an internal review of their complaint. They may also be advised of their right to contact the Victorian Ombudsman if they are dissatisfied with the outcome.

ESV will not send formal correspondence if the complainant was not personally affected, or has advised that they do not wish to know the outcome.

4.6 Internal review of complaint

If a complainant is not satisfied with the outcome of the complaints process, they can request an internal review of their complaint. The complainant must detail the specific decision ESV has made that they are dissatisfied with, and provide any evidence that they believe demonstrates ESV has not made the correct decision.

If the review determines that the decision made was appropriate, the complainant will be advised and informed of their right to contact the Victorian Ombudsman. The review will then be closed.

If no corrective actions are available—in essence; if we cannot fix the mistake—ESV will advise the complainant of their right to contact the Victorian Ombudsman, or may offer compensation (if appropriate). If there are alternative actions available, the complaint will be reopened.

A process review will take place if an internal review indicates that incorrect or erroneous decisions have been made by ESV. If the processes are considered inappropriate, improvements will be made.

4.7 Final ESV response

Complainants may continue to contact ESV following resolution of their complaint. Once their options for review have been exhausted, the complainant will be advised and informed of their right to take their concerns to the Victorian Ombudsman.

If the complainant continues to provide correspondence unrelated to matters within ESV's jurisdiction, or exactly the same matters that have already been responded to, they will be advised that ESV will only review new information relating to compliance and safety issues. Further correspondence from the complainant that does not contain new information may be recorded without additional ESV response.

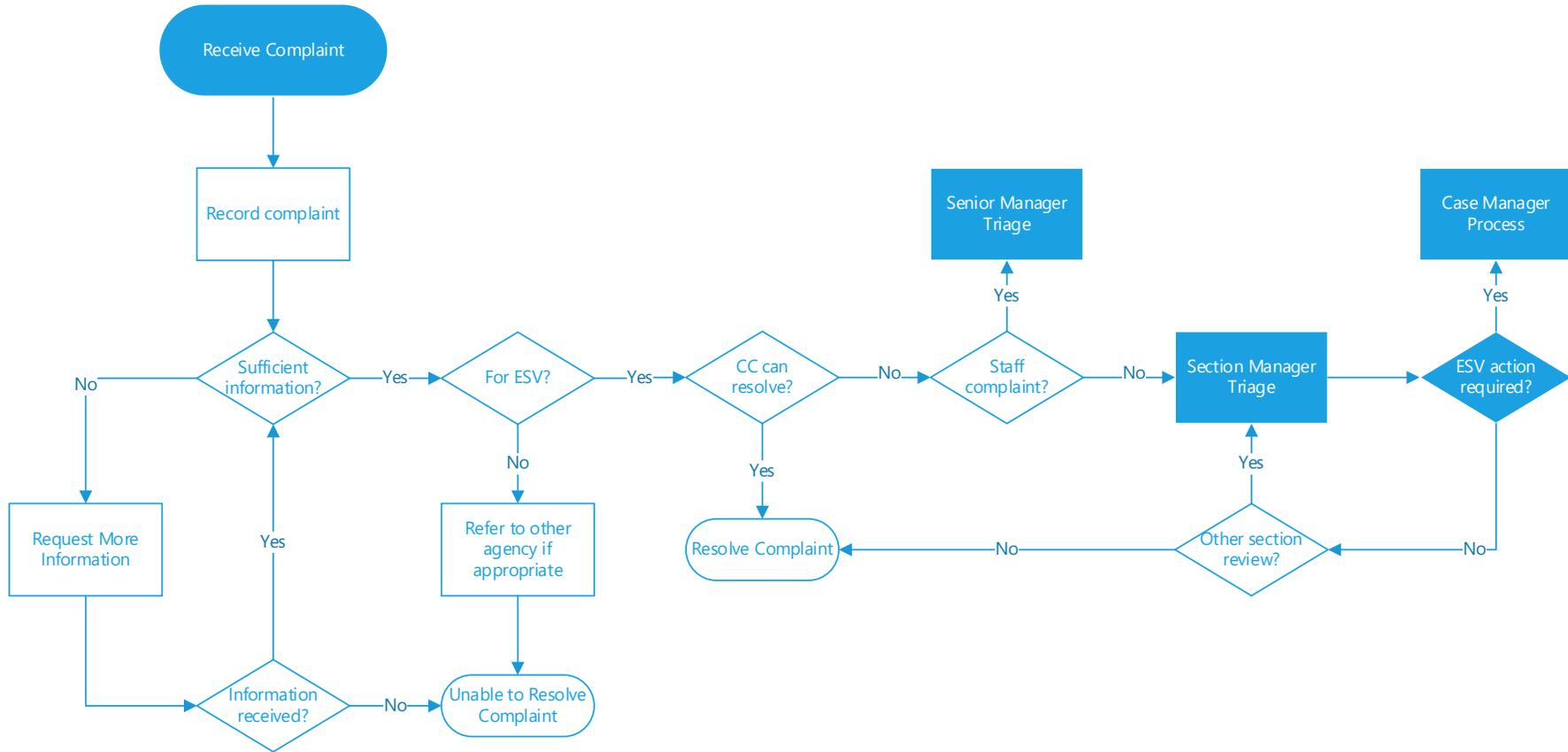
5 Document control

Version	Date	Revision information	Owner	Reviewer	Review date	Authoriser
1.0	January 2017	New document	RRPP	Kevin O'Connor	Every two years	Roanne Allan
1.1	October 2017	Review in conjunction with Policy & Manual	RRPP	Kevin O'Connor	October 2019	Roanne Allan
1.2	April 2018	Reviewed for external publishing	RRPP	Kevin O'Connor	April 2020	Roanne Allan

6 Process flows

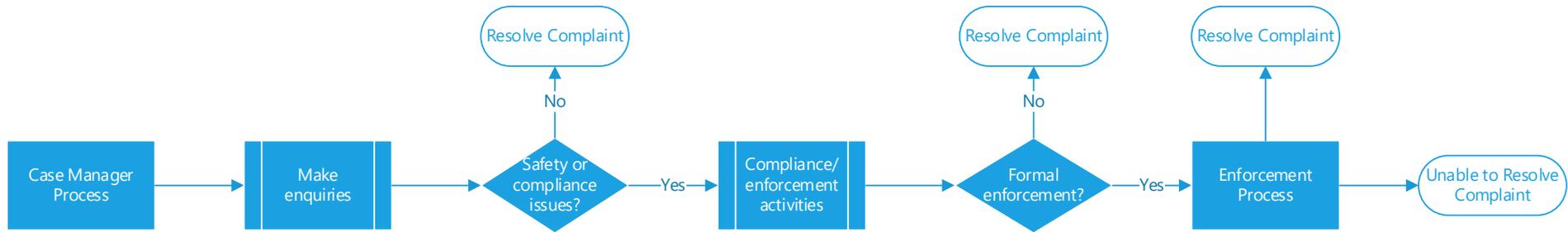
The process flows in this section illustrate the Complaints Handling Procedure.

COMPLAINTS PROCESS (main flow)



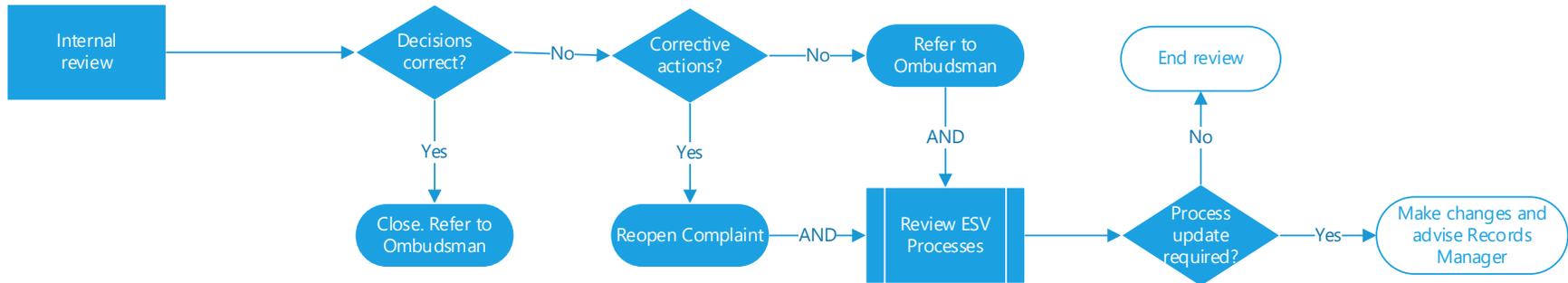
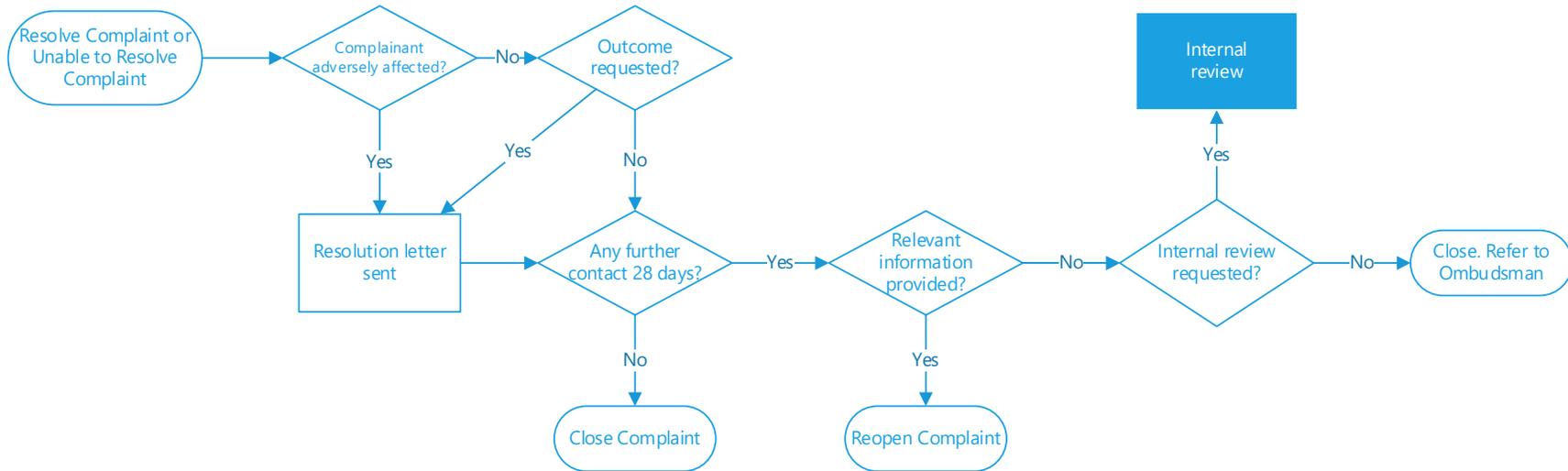
Shapes with coloured writing indicate that the Complaints Coordinator is responsible for these actions.

CASE MANAGER PROCESS



Shapes with coloured writing indicate that the Complaints Coordinator is responsible for these actions.

RESOLUTION PROCESS (including internal review)



Shapes with coloured writing indicate that the Complaints Coordinator is responsible for these actions.