



ERC COMPLAINT / DISPUTE POLICY

Purpose

This policy is intended to ensure that we handle complaints/disputes fairly, efficiently and effectively. Our complaint/dispute management system is intended to:

- enable us to respond to issues raised by people managing complaints in a timely and cost-effective way
- boost confidence in our administrative process, and
- provide information that can be used by us to deliver quality improvements in ERC processes and procedures.

This policy provides guidance to our staff and people who wish to lodge a complaint/dispute in relation to any area of ERC's business.

Scope

This policy applies to all staff receiving or managing disputes made to or about ERC.

Organisational commitment

This organisation expects staff at all levels to be committed to fair, effective and efficient dispute handling. The following table outlines the nature of the commitment expected from staff and the way that commitment should be implemented.

Commitment	How
Promote a culture that values disputes and their effective resolution	<p>Report publicly on ERC's complaint/dispute handling.</p> <p>Provide adequate support and direction to key staff responsible for handling complaints.</p> <p>Encourage all staff to be alert to complaints and assist those responsible for handling complaints resolve them promptly.</p> <p>Encourage staff to make recommendations for system improvements.</p> <p>Recognise and reward good complaint handling by staff.</p> <p>Support recommendations for product dispute handling improvements arising from the analysis of complaint data.</p>

Energy Resources Corporation	Version: 1
	Date: 01/09/15



ERC COMPLAINT / DISPUTE POLICY

<p>Establish and manage our complaint management system.</p>	<p>Provide regular reports to the Director on issues arising from complaint/dispute handling work.</p> <p>Ensure recommendations arising out of complaint/dispute data analysis are canvassed with the Director and implemented where appropriate.</p> <p>Recruit, train and empower staff to resolve complaints/disputes promptly and in accordance with ERC’s policies and procedures.</p> <p>Encourage staff managing complaints/disputes to provide suggestions on ways to improve the organisation’s complaint management system.</p> <p>Encourage all staff to be alert to complaints/disputes and assist those responsible for handling complaints/disputes to resolve them promptly.</p>
<p>Demonstrate exemplary complaint/dispute handling practices</p>	<p>Treat all people with respect, including people who make complaints or lodge disputes.</p> <p>Assist people make a complaint/dispute, if needed.</p> <p>Comply with this policy and its associated procedures.</p> <p>Keep informed about best practice in complaint/dispute handling.</p> <p>Provide feedback to management on issues arising from complaints.</p> <p>Provide suggestions to management on ways to improve the organisation’s complaints/dispute management system.</p> <p>Implement changes arising from individual complaints/disputes and from the analysis of complaint data as directed by management.</p>



ERC COMPLAINT / DISPUTE POLICY

Understand and comply with ERC's complaint/dispute handling practices.	Treat all people with respect, including people who make complaints. Be aware of ERC's complaint handling policies and procedures. Assist people who wish to make complaints or lodge disputes to access the relevant organisations complaints process. Be alert to complaints and assist staff handling complaints/disputes to resolve matters promptly. Provide feedback to management on issues arising from complaints. Implement changes arising from individual complaints and from the analysis and evaluation of complaint data as directed by management.
--	---

Process

Customers who wish to lodge a query on their invoice will do so directly to ERC via their online query process or by contacting the customer service team directly.

Any query will be processed according to the ERC Query procedure documentation available to all residents.

Residents are provided a 4 business day turnaround on all queries.

A resident will at all times have the option of further investigation by a qualified tradesman with the confidence that should fault be found onsite the Body Corporate accept responsibility to remedy the situation.

Should a resident wish to escalate their query or are unsatisfied with the initial outcome they may request it be accelerated to ERC senior management who will respond within 4 business days.

Where a resident wishes to escalate the query further ERC will on their behalf and at their request provide a summary of the query and steps taken to resolve the issue to the Body Corporate committee.

Insert:

Energy Resources Corporation	Version: 1
	Date: 01/09/15



ERC COMPLAINT / DISPUTE POLICY

All our customers, in NSW, have the right to contact the Energy & Water Ombudsman NSW (EWON) at any time for independent advice and assistance. However, we do hope you will contact us directly to allow us the opportunity to rectify any issues. EWON's contact details are below.

Energy & Water Ombudsman NSW

Freecall 1800 246 545

Freefax 1800 812 291

Post Reply Paid 86550, Sydney South NSW 1234

Email complaints@ewon.com.au

Website www.ewon.com.au

Where requested, ERC will provide the contact details of regulatory bodies The Energy and Water Ombudsman Queensland (EWOQ) and Department of Energy and Water Services (DEWS) or AER as a dispute resolution service for unresolved complaints.

The Body Corporate has directed ERC that all queries that may escalate to complaints are to be treated in accordance with the expectation and guidelines provided by EWOQ/EWON and DEWS to ensure residents are afforded comparable assistance and outcomes to customers outside embedded networks.

Residents are informed The Office of the Commissioner for Body Corporate and Community Management offers conciliation for customers unable to obtain resolution.

Tenants can access the Residential Tenancy Authority (RTA) website for advice on ways to resolve disputes under The Act and conditions directly related to the 'charging of utilities'.

Mitigation of detriment: Customer dispute resolution services

Further to previous note 12, customers who wish to dispute the invoice amount, its contents or its accuracy will be directed to the ERC Query procedure.

ERC will in turn provide the customer a solution within 4 business days.

Should this solution not be acceptable to the customer they may wish to have it escalated.

ERC will assist the customer to validate their invoice data including meter readings, historical trends and provide solutions for the customer to self-validate the billing information to ensure the data may be checked at no cost to the customer. ERC will provide the customer with processes to validate the information.

Energy Resources Corporation	Version: 1
	Date: 01/09/15



ERC COMPLAINT / DISPUTE POLICY

Where a customer wishes further investigation they may request ERC to facilitate an electrician onsite where the customer will only incur a charge if the electrician confirms there is no fault onsite.

The charge for any contractor must be agreed to prior to scheduling the appointment.

Residents are provided a 4 business day turnaround on all queries.

A resident will at all times have the option of further investigation by a qualified tradesman with the confidence that should fault be found onsite the Body Corporate accept responsibility to remedy the situation.

Should a resident wish to escalate their query or are unsatisfied with the initial outcome they may request it be accelerated to ERC senior management who will respond within 4 business days.

The Body Corporate has directed ERC that all queries that may escalate to complaints are to be treated in accordance with the expectation and guidelines provided by EWOQ/EWON and DEWS to ensure residents are afforded comparable assistance and outcomes to customers outside embedded networks.

Residents are informed The Office of the Commissioner for Body Corporate and Community Management offers conciliation for customers unable to obtain resolution.

Tenants can access the Residential Tenancy Authority (RTA) website for advice on ways to resolve disputes under The Act and conditions directly related to the 'charging of utilities'.

Disputes Arising in relation to AEMO Participation

In the case of any dispute, ERC will be guided by the national electricity objective and seek to resolve the dispute in a quick and inexpensive manner with the aim to preserve the relationship with other party/parties and encouraging resolution without formal intervention. In accordance with clause 8.2 of the NER, ERC as an ENM registered participant adheres to all policies and guidelines outlined in the NER (National Energy Regulator), version 99, chapter 8, section 8.2, governing any dispute which may arise between two or Registered Participants, including AEMO, DDP's and MP's in relation to (refer Appendix A):

1. the application or interpretation of the Rules;

Energy Resources Corporation	Version: 1
	Date: 01/09/15



ERC COMPLAINT / DISPUTE POLICY

2. the failure of any Registered Participants to reach agreement on a matter where the Rules require agreement or require the Registered Participants to negotiate in good faith with a view to reaching agreement;
3. the proposed access arrangements or connection agreements of an Intending Participant or a Connection Applicant;
4. the payment of moneys under or concerning any obligation under the Rules;
5. any other matter relating to or arising out of the Rules to which a contract between two or more Registered Participants provides that the dispute resolution procedures under the Rules are to apply;
6. any other matter relating to or arising out of the Rules in respect of which two or more Registered Participants have agreed in writing that this rule 8.2 should apply; or
7. any other matter that the Rules provide may or must be dealt with under this rule 8.2,

but does not apply to those disputes described in clause 8.2.1(h).

ERC will abide by any outcomes as directed.

Energy Resources Corporation	Version: 1
	Date: 01/09/15



ERC COMPLAINT / DISPUTE POLICY

Appendix 8 –Summary of Process under Chapter 8 of the NER

Scope

ERC will adopt and implement a Dispute Management System (DMS). The DMS of ERC must be consistent with the guidelines of the Adviser (Wholesale Electricity Market Dispute Resolution Adviser) in regards to the form and content of the DMS. ERC will nominate a first point of contact as the DMS Contact. ERC's DMS contact will respond to requests for information from other participants in regards to information that is relevant to any of the matters set out in clause 8.2.1 (a) of the NER version 99, from other Registered Participants within **5 business days**. ERC will follow the below process for actioning disputes and responding to requests for information from other Registered Participants, and will comply with all requirements and time lines required by the Dispute Management System.

1. **Service of DMS referral notice** (Stage 1) – activation of dispute resolution process through service of Stage 1DMS referral notice and request for information {refer NER version 99 chapter 8, 8.2.4 (c)} for referral notice criteria) within 60 days after the making of a disputed decision or the occurrence of the dispute conduct {refer NER version 99 chapter 8, 8.2.4 (b)}.
2. **Respond to a valid request for information** – respond to valid requests for information **within 5 business days** of service of the Stage 1 DMS referral notice {refer NER version 99 chapter 8, 8.2.3 (b)(3)}.
3. **Participate in discussions** - by agreement to determine the further conduct of the dispute {refer NER version 99 chapter 8, 8.2.4 (d)} within **5 business days**. Mandatory attendance is required by the Registered Participant that served the notice and every person on who the notice was

Energy Resources Corporation	Version: 1
	Date: 01/09/15



ERC COMPLAINT / DISPUTE POLICY

- served). Discussions may be conducted in person, by telephone, video-conference or similar method of real time communications
4. **Service of Stage 1 DMS referral notice** – on any other parties as applicable {refer NER version 99 chapter 8, 8.2.4 (h)}
 5. **Participate in further discussions** - by agreement to determine the further conduct of the dispute {refer NER version 99 chapter 8, 8.2.4 (d)} within **5 days** of service of the last DMS referral notice {refer NER version 99 chapter 8, 8.2.4 for additional guidance on format of discussions} within **5 business days**. Mandatory attendance is required by the Registered Participant that served the notice and every person on who the notice was served). Discussions may be conducted in person, by telephone, video-conference or similar method of real time communications
 6. **Registered Parties exchange summary of issues** - and commence:-
 - a. direct negotiations(within 20 days of service of the last DMS referral notice)
 - b. mediation and/or
 - c. other ADR process
 7. **Dispute resolved** – if dispute is resolved the matter is considered close. If the dispute remains unresolved the dispute is referred to the Adviser
 8. **Refer to the Adviser (AEMO) (Stage 2)** – by serving the Adviser and Adviser referral notice {refer NER version 99 chapter 8, 8.2.5 for clarification on Stage 2 requirements} no later than **60 days** after the last service of a Stage 1 – DMS referral notice or scheduling errors where matters are in dispute {refer Clause 3.5.24} (Stage 2 – Compensation for declared scheduling errors where no matters are in dispute. {Clause 3.16.2}
 9. **Receipt of Stage 2 Referral Notice** – Adviser notifies all parties of receipt of the notice immediately {refer NER version 99 chapter 8, 8.2.5 (b)}
 10. **Each Registered Participant must** – provide a brief history of the dispute and the circumstances giving rise to it along with a statement of issues in relation to the dispute {refer NER version 99 chapter 8, 8.2.5 (b)(1) (2)} within 5 business days.
 11. **Adviser Determination** – Adviser determines (within 10 business days) if they will be unable to successfully resolve, having attempted to resolve, the dispute within a reasonable time frame. If

Energy Resources Corporation	Version: 1
	Date: 01/09/15



ERC COMPLAINT / DISPUTE POLICY

it is determined that they will be unable to be resolved the matter is referred to a DRP (Dispute Resolution Panel) {refer NER version 99 chapter 8, 8.2.5 (d)}. Scheduling errors must be referred to DRP.

12. **Adviser to Resolve** – The Adviser and Parties meet (within **5 days** of notification of Stage 2 Adviser referral notice) regarding the dispute and engage in discussion for an agreed resolution process to be followed {refer NER version 99 chapter 8, 8.2.9}.
13. **DRP Resolution** – Parties and Adviser meet re case management (within 5 days of notification of Stage 2 Adviser referral notice) and matter is referred to DRP for determination. The DRP will inform the market of referral to DRP {refer NER version 99 chapter 8, 8.2.5 (e)}.

Energy Resources Corporation	Version: 1
	Date: 01/09/15