



# Lumo Energy Complaint and Dispute Resolution Policy

## OBJECTIVE

The Lumo Energy Complaint and Dispute Resolution Policy and Procedure sets out the standards expected of Lumo Energy employees for identifying, receiving and resolving complaints from customers or prospective customers. This Policy is informed by Lumo Energy's Compliance Policy as part of the Compliance Program.

## POLICY

### Application

This policy applies to all Lumo Energy employees whose roles require them to receive, respond to or resolve complaints from customers or prospective customers. For the purpose of this policy, Employee means a person who works for or on behalf of Lumo Energy in any capacity whether this is full-time, part-time or casual, including temporary and contract workers.

### Responsibilities

Lumo Energy is committed to receiving and responding to complaints in line with the organisational commitments set out in the Compliance Policy and with industry specific obligations as a market participant and energy retailer.

### Key Principles

The key principles for effective complaint resolution are timeliness, ownership, impartiality and responsiveness.

The principles of continuous improvement underpin all complaints resolution procedures.

### Lumo Energy will:

- Provide a clear, accessible and fair process for customers or prospective customers to raise a complaint or dispute with Lumo Energy;
- Encourage prompt internal reporting of actual or potential compliance breaches and clearly set out requirements for investigating and resolving complaints;
- Develop and maintain adequate resources, and effective processes and supporting systems;
- Provide training which enables Employees to effectively identify, receive and resolve complaints; and
- Ensure the continuing effectiveness of the Complaints Handling Framework through regular review and continuous improvement.

### Employees will:

- Ensure all interactions with customers and prospective customers are aligned with Lumo Energy's Values and Customer Experience vision;
- Effectively identify, receive and resolve complaints in line with this Policy and the Complaints Handling and Dispute Resolution Procedure;
- Explain to customers and prospective customers how to access Lumo Energy's Complaints Handling and Dispute Resolution Procedure; and



- If unable to offer a satisfactory resolution:
  - at the first point of contact, inform the customer or prospective customer that they may escalate their complaint to a higher level within Lumo Energy, or
  - after escalation within Lumo Energy, inform the customer or prospective customer that they have the right to refer their complaint to the relevant energy Ombudsman.

**Managers will:**

- Effectively identify, receive and resolve complaints in accordance with the Complaints Resolution and Dispute Management Policy and Procedures
- Effectively receive, manage and resolve complaints and disputes in line with this Policy and the Complaints Handling and Dispute Resolution Procedure;
- If unable to offer a satisfactory resolution:
  - at the first point of contact, inform the customer or prospective customer that they may escalate their complaint to a higher level within Lumo Energy; or
  - after escalation within Lumo Energy, inform the customer or prospective customer that they have the right to refer their complaint to the relevant energy Ombudsman.
- Ensure Employees' activities within their responsible business areas comply with this Policy;
- Ensure the Relevant General Managers are immediately notified of any significant complaints; and
- Take action to resolve any issue identified on a case by case basis and recommend continuous improvements.

**General Managers will:**

- Take immediate action to ensure the investigation and resolution of significant complaints;
- In consultation with the Compliance Officer, ensure the Complaint Management and Dispute Resolution Policy is effectively designed, implemented and maintained and review its continuing effectiveness; and
- Ensure Employees' activities within their responsible business areas comply with this Policy

**The Compliance Team or Officer will:**

- Immediately notify the relevant Manager and/or General Manager of any significant complaints;
- Ensure the Complaints Handling Procedure is effectively and efficiently designed, implemented and maintained;
- Deliver timely reporting on complaints received, trends identified and possible causes to relevant stakeholders of complaint findings and resolution; and
- Undertake root cause analysis and recommend continuous improvements to training, processes or systems as required.



## COMPLAINT MANAGEMENT PROCEDURES

The Complaint Management Procedures set out the high level procedures for identifying, receiving and resolving complaints from customers or prospective customers.

### Receiving Complaints

#### Internal

Customers or prospective customers may lodge a complaint directly with Lumo Energy through the following channels:

Telephone 1300 825 852

Monday to Friday: 8:00am to 8:00pm and Saturday: 8:00am to 5:00pm (AEST/AEDT)

Email [info@lumoenergy.com.au](mailto:info@lumoenergy.com.au)

Website [www.lumoenergy.com.au](http://www.lumoenergy.com.au)

Mail Lumo Energy Australia  
PO Box 632  
Collins Street West Vic 8007; or

#### External

Alternatively customers or prospective customers may lodge a complaint about Lumo Energy with the relevant Ombudsman:

#### Victoria

Energy and Water Ombudsman (Victoria)

Telephone: 1800 500 509

Website: [www.ewov.com.au](http://www.ewov.com.au)

#### New South Wales

Energy & Water Ombudsman NSW

Telephone: 1800 246 545

Website: [www.ewon.com.au](http://www.ewon.com.au)

#### South Australia

Energy Industry Ombudsman South Australia

Telephone: 1800 665 565

Website: [www.ewosa.com.au](http://www.ewosa.com.au)

#### Australian Capital Territory

ACT Civil and Administrative Tribunal

Telephone: 02 6207 1740

Website: [www.acat.act.gov.au](http://www.acat.act.gov.au)

#### Queensland

Energy and Water Ombudsman Queensland

Telephone: 1800 662 837

Website: [www.ewoq.com.au](http://www.ewoq.com.au)



## Resolving Complaints

Identify and receive	Employees will identify all complaints received and acknowledge receipt of the complaint as soon as practicable.
Engage and investigate	Employees will take ownership of each complaint they receive to investigate. Through transparent, fair and open stakeholder engagement, Employees will obtain the information required to complete the investigation.
Resolve	Employees will take ownership of each complaint they receive to and take proactive steps to investigate and resolve it, at the first point of contact where feasible.
Escalate	Employees will escalate the complaint where the customer requests it, or if the customer remains dissatisfied with the resolution offered at their first point of contact. Employees will provide contact details of the relevant Ombudsman as required.
Record	Employees will record all relevant information and notes of discussions, and resolutions offered on the customer's account throughout the process of investigating and resolving the complaint.
Communicate	Employees will provide regular updates to the customer while their concerns are being investigated. Customers should be informed of all steps of the investigation and the resulting outcome at appropriate times.
Report	Responsible business areas will report on all complaints received including the number and type of complaints, the status of these complaints and the resulting outcomes or resolutions.
Analyse	Responsible business areas will conduct regular reviews to identify possible trends and root causes (rather than symptoms) of the complaints received.
Action	Responsible business areas will implement improvements identified by trend and root cause analysis. These reviews will be aimed at continuous improvement to avoid repeat complaints and improve the customer experience.

The details of a complaint and the complainant's identity will be actively protected from disclosure, unless the customer expressly consents to its disclosure.

Anyone receiving a complaint, particularly a complaint against a Lumo Energy employee, should take reasonable steps to ensure that the complaint is only discussed with those directly concerned.



## Related Documentation

- Australian Standard- Customer Satisfaction-Guidelines for complaints handling in organisations AS ISO 10002-2006
- Australian Standard- Dispute Management Systems AS 4608- 2004
- Ombudsman member manuals
- National Electricity (Victoria) Act 2005
- National Electricity (New South Wales) Act 1997
- National Electricity (South Australia) Act 1996
- Code of Conduct for Marketing Retail Electricity (VIC)

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## Document History

Version	Date	Author	Comments
1.0	9 June 2016	Stephen Grant	