

Complaints Handling Policy

Exel Power Solutions Pty Ltd trading as State Energy Co (**State Energy Co, we, us, our**) aims to provide the highest level of customer service, which includes the handling of all complaints. State Energy Co and its senior management are committed to an effective, efficient and open complaints handling procedure.

We have designed this Complaint Handling Policy (**Policy**) to outline our procedures for the handling of customer complaints in relation to our products and services.

This Policy has been developed in accordance with the requirements of the Quality management – Customer Satisfaction – Guidelines for complaints handling in organizations (ISO 10002:2014) and the Solar Retailer Code of Conduct.

1. Customer Focused Policy

1.1 The emphasis of this Policy is to provide a customer-focussed approach for the handling and resolution of complaints, including in relation to:

- (a) the purchase of products from us;
- (b) the quality of a product purchased from us;
- (c) breaches of the Australian Consumer Law; and
- (d) breaches of any other relevant law.

2. Accessibility

2.1 Our complaints handling process will be easily accessible to all customers and staff members.

2.2 Customers wishing to make a complaint may do so by the following means:

- (a) by email to [hello@stateenergyco.com.au]; or
- (b) by telephone to [1800 136 374].

2.3 Complaints can be made using the Complaints Form (as set out in Schedule 2) available on our website at www.stateenergyco.com.au/complaints

3. The Complaints Handling Process

3.1 The process for the handling of all complaints will be as set out in Schedule 1 to this Policy, as amended from time to time.

4. Responsiveness

4.1 All complaints will be acknowledged (through post, email or phone) by State Energy Co within [2] business days of the complaint being received.

4.2 Following acknowledgment, all complaints will be dealt with in a timely manner and within the following timeframes:

- (a) all information required to investigate the complaint will generally be gathered within [3] business days, however, the complainant will be notified if further time is required;

- (b) once all information has been gathered, the complaint will be investigated and a decision made within [10] business days; and
- (c) once a decision has been made, the complainant will be notified of the decision and the reasons for that decision in writing within [3] business days,

in any case, feedback on the outcome of complaints, will be made to the complainant or their nominee within 21 days of receipt, unless additional time is require and State Energy Co inform the complainant of the need for more time to complete its investigation.

- 4.3 If additional time is required to investigate the complaint, the complainant will be notified in writing and provided with an updated timeline for notification of the decision (which may occur no more than 45 days after receipt of the complaint).
- 4.4 On request, the complainant will be provided with a status update in relation to their complaint.
- 4.5 If the complainant is not satisfied with the decision, they may:
 - (a) notify us and the complaint will be transferred to another State Energy Co employee within [3] business days for investigation in accordance with the timeframes set out in paragraphs 4.1 to 4.3 above; or
 - (b) lodge a complaint with any applicable ombudsman; the Australian Competition and Consumer Commission on 1300 302 502 or via their website; or, the relevant federal, state or territory consumer protection agency as set out below:
 - (i) ACT: Office of Regulatory Services, 02 6207 3000
 - (ii) NSW: Fair Trading, 13 32 20
 - (iii) NT: Consumer Affairs, 1800 019 319
 - (iv) Qld: Office of Fair Trading, 13 74 68
 - (v) SA: Consumer and Business Services, 131 882
 - (vi) Tas: Consumer Affairs and Fair Trading, 1300 654 499
 - (vii) Vic: Consumer Affairs, 1300 558 181
 - (viii) WA: Consumer Protection: 1300 304 054

5. Principles

- 5.1 Each complaint will be addressed in an equitable, objective and unbiased manner, and with the following principles in mind:
 - (a) Transparency and accessibility: the complaints handling process will be accessible and easy to understand.
 - (b) Impartiality and equality: all complaints will be treated equally and investigated in an impartial and consistent manner.
 - (c) Confidentiality: all complaints will be dealt with on a confidential basis with personally identifiable information concerning the complainant only being made available to the extent necessary to address the complaint;

6. Functions

Compliance Officer

- 6.1 The Compliance Officer will be responsible for the implementation, monitoring and improvement of the complaints handling process.
- 6.2 Specifically, the Compliance Officer will be responsible for:
- (a) ensuring the complaints handling process is planned, designed, developed, operated, maintained and continually improved;
 - (b) identifying and allocating adequate resources required for the effective and efficient handling of complaints;
 - (c) ensuring the complaints handling process is promoted, well publicised and easily accessible to staff members, customers, complainants and any other parties directly concerned;
 - (d) ensuring staff members are adequately trained and understand the importance of the customer focussed approach;
 - (e) appointing a Complaints Handling Representative (as further described below) and clearly defining their responsibilities and authority;
 - (f) ensuring there is a process for rapid and effective notification to senior management in the event of any significant complaints; and
 - (g) periodically reviewing the complaints handling process to identify any specific risks or opportunities for improvement and ensuring the effective and efficient maintenance.

Complaints Handling Representative

- 6.3 The Complaints Handling Representative will be responsible for the practical operation of the complaints handling process.
- 6.4 Specifically, the Complaints Handling Representative will be responsible for:
- (a) establishing and implementing a process of performance monitoring, evaluation and reporting;
 - (b) reporting to senior management on the complaints handling process and recommending improvements; and
 - (c) maintaining the effective and efficient operation of the complaints handling process, including the recruitment and training of appropriate staff members, monitoring target timeframes and conducting reviews.

Staff Members

- 6.5 All managers involved in handling complaints will be responsible for:
- (a) ensuring that the complaints handling process is implemented;
 - (b) liaising with the Complaints Handling Representative;
 - (c) ensuring the complaints handling process is promoted, well publicised and easily accessible to all staff;
 - (d) reporting on actions and decisions with respect to complaints handling;

- (e) ensuring the complaints handling process is subject to regular monitoring and improvement;
 - (f) ensuring action is taken to both correct a problem and prevent similar problems from occurring in the future;
 - (g) ensuring data in relation to the handling of complaints is made available to senior management; and
 - (h) ensuring that sufficient records are kept in relation to the above.
- 6.6 All staff members involved in the complaints handling process will be appropriately trained, and responsible for making themselves aware of, and complying with, this Policy and the complaints handling process.

7. Collection of Information

- 7.1 The Complaint Handling Representative will ensure the following information is collected and maintained in relation to all complaints made:
- (a) a written record of the Complaints Form (set out in Schedule 2) and Complaint Follow-up Form (set out in Schedule 3) will be kept in a secure manner for an appropriate time, after which it will be securely disposed of;
 - (b) a written record of all training provided to staff involved in the complaints handling process;
 - (c) a written record of the time taken to resolve a complaint by reference to the timeframes set out in this Policy; and
 - (d) a written record of the categories of all complaints.
- 7.2 The Complaint Handling Representative will be responsible for preparing statistics based on the records maintained in 7.1(c) and (d), and providing these to the Compliance Officer on a quarterly basis. The Compliance Officer will be responsible for addressing any issues that arise in relation to timeframes set under this Policy or trends in relation to the categories of complaints.

8. Monitoring

- 8.1 The Complaints Handling Representative will continually monitor the complaints handling process to ensure complaints are being handled in accordance with the principles outlined in this Policy by:
- (a) conducting random spot checks of resolved complaints on a quarterly basis;
 - (b) conducting complainant satisfaction surveys; and
 - (c) regularly reporting to the Compliance Officer in relation to their findings and providing recommendations on areas for improvement.

9. Audit

An external advisor will conduct yearly audits to evaluate compliance with the complaints handling process, identify problems and introduce any improvements to the complaints handling process.

Schedule 1

The Complaints Handling Process

1. The State Energy Co website will outline the complaints handling process and have a link to the Policy and the Complaints Form set out at Schedule 2.
2. All complaints must be made using the Complaints Form. If a Complaint Form is not provided by a complainant (for example, if the complaint is made over the phone or through a customer survey), a staff member must record the complaint using the Complaints Form.
3. Once a Complaint Form is received, a reference number will be assigned for ease of reference and to preserve confidentiality as far as possible in the investigation of a complaint.
4. All complaints will be acknowledged (through email or phone) by State Energy Co within [2] business days of the complaint being received.
5. All information required to investigate the complaint will generally be gathered (through email or phone) within [3] business days, however, the complainant will be notified if further time is required.
6. Once all the information has been gathered, the complaint will be investigated and a decision made within [10] business days in accordance with the principles set out in this Policy and having regard to the requirements of all laws.
7. The Complaint Follow-up Form set out at Schedule 3 will be completed.
8. The complainant will be notified in writing of the outcome of the decision within [3] business days of the decision being made.
9. In all cases, the complainant will receive feedback on the outcome of complaints must be provided to the consumer within 21 days of receipt unless the complainant is informed that additional time is required.
10. Some remedies which may be provided by State Enrgy Co include and are set out further in our warranty policy:
 - (a) providing the complainant with a refund;
 - (b) repair the product;
 - (c) replace the product;
 - (d) a combination of the above.
11. If additional time is required to investigate the complaint, the complainant will be notified in writing and provided with an updated timeline for notification of the decision (which may occur no more than 45 days after receipt of the complaint).
12. If the complainant is not satisfied with the decision, they may:
 - (a) notify us and the complaint will be transferred to another State Energy Co employee within [2] business days for investigation in accordance with the timeframes set out in above; or
 - (b) lodge a complaint with:
 - (i) the relevant federal, state or territory Ombudsman (if any);

(ii) the Australian Competition and Consumer Commission; or

(iii) the relevant federal, state or territory consumer protection agency (for example, Consumer Affairs Victoria or Fair Trading NSW).

13. The complaints handling processes will be monitored regularly by the Complaints Handling Representative. The Complaints Handling Representative will provide a report to the Compliance Officer in relation to the complaints handling process, including recommendations for improvement.
14. The Compliance Officer will conduct regular audits of the complaints handling process.
15. The Complaints Handling Representative will monitor feedback provided by complainants through complainant surveys as conducted.

Schedule 2

Complaint Form

1. Details of complainant

Name/organisation

Address

Suburb

Post code

Country

Phone No.

Email

2. Product Description

Reference number of product/order (if known)

Description

3. Problem encountered

Date of occurrence

Description

4. Remedy requested

Yes

☐

No

☐

Description

5. Signature

Date

Signature

6. Enclosure

List of enclosed documents