



Complaints Investigation and Response Plan

Stockyard Hill Wind Farm

SHWF-DA-PLN-001

April 2018

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Document History

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1.1	28 October 2017	Draft for stakeholder review
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1.4	05 April 2018	Revised to more clearly align with AS/NZS1002:2014

Document Approval

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1 Introduction

This Complaints Investigation and Response Plan (CIRP) sets out the processes for effective and consistent handling of any complaints received by external stakeholders, interested parties, and members of the public in relation to Stockyard Hill Wind Farm (SHWF).

1.1 Scope

This CIRP applies to all staff and contractors associated with SHWF and must be implemented throughout the construction phase and operational life of the wind energy facility. The CIRP is an 'umbrella' document, and applies to all aspects of the SHWF including, but not limited to:

- Construction and / or operational noise;
- Construction impacts (e.g.: waste/litter);
- Traffic impacts (including dust);
- Environmental impacts (e.g. fuel or chemical spill);
- Shadow flicker; and
- Compliance.

1.2 Application

Stockyard Hill Wind Farm Pty Ltd (SHWFPL), the project proponent and permit holder for SHWF, is responsible for the effective implementation and management of this CIRP, in accordance with planning permit PL-SP/05/0548/A, issued by the Minister for Planning (the Permit) including all internal and external reporting requirements outlined in this document.

It is the intent that the systems outlined in this CIRP will be maintained by the owner of SHWF for the duration of the operation of the wind energy facility (WEF).

In addition, SHWFPL, as a wholly owned subsidiary of Goldwind Australia Pty Ltd (GWA, or the owner), is obliged to meet the requirements of applicable GWA policies for handling and management of enquiries and complaints in relation to GWA projects. GWA has prepared this document on behalf of SHWFPL.

1.3 Referenced Documents

This CIRP has been developed to satisfy the following applicable legal and corporate requirements:

- Conditions 30-34 of Planning Permit PL-SP/05/0548/A
- AS/NZS 10002:2014 – Guidelines for Complaint Management in Organizations
- The Privacy Act 1998 (Cth)
- Goldwind Australia's (GWA) Handling Enquiries and Complaints Policy
- Goldwind Australia's (GWA) Privacy Policy.

Condition 31 of the Permit stipulates that the endorsed version of this CIRP be made publicly available via the wind farm operators website for the life of the project (below).

<https://www.stockyardhillwindfarm.com.au/>

In addition, copies can be obtained from the SHWF shop front/information office in Beaufort.

1.4 Document Structure

Both the planning permit (condition 32) and GWA Organisational Policy (GWA Handling Enquiries and

Complaints Policy) require the CIRP to be prepared in line with the guiding principles set out in *AS/NZ 10002:2014 - Guidelines for Complaint Management in Organizations*. Accordingly, this CIRP has been structured to reflect the key elements of this Standard, as shown in Table 1.1: **Table 1.1: Alignment of CIRP with AS/NZ 10002:2014**

AS/NZS 10002:2014 Reference		SHWF CIRP v1.4 Reference	
1	Scope	1.1	Scope
2	Application	1.2	Application
3	Referenced Documents	1.3	Referenced Documents
4	Definitions	-	N/A
5.1	Enabling complaints	2	Lodgement of Enquiries and Complaints
			Principles, Accessibility, Avenues for Public Contact
5.2	Managing complaints	3	Managing enquiries and complaints
5.3	Managing the parties		
5.4	Accountability, learning and prevention	4	Accountability, learning and prevention
6	Complaint Management Framework	This CIRP and referenced GWA policies and processes	
7	Planning and Design	Addressed in design of GWA complaints processes and this CIRP	
7.1	System	3.1, 3.3, 3.4	
7.2	Review process	7	Review and continual improvement
7.3	Procedures	3	Managing enquiries and complaints
7.4	Resources	3.6	Processes for receiving and responding to complaints
7.5	Integration with public relations/media	2.3	Communication
7.6	Training	3.2	Training and Awareness
8	Operation of the Complaint Handling System	2, 3, 4, 5 & 6	As outlined in Sections 2 to 6
9	Maintenance and Improvement	7	Review and continual improvement

1.5 Satisfaction of Permit Conditions

Table 1.2 outlines relevant conditions outlined in Planning Permit PL-SP/05/0548/A, with a reference to where each condition is addressed in this document.

Table 1.2: Relevant planning permit conditions

No.	Condition wording	Reference
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30	Before the development starts, the permit holder must prepare a Complaint Investigation and Response plan to the satisfaction of the Minister for Planning. When approved, the plan will be endorsed by the Minister for Planning and will then form part of this permit. The complaint investigation and response plan will be designed to respond to all aspects of the wind farm including (but not limited to): operation noise, construction noise, construction impacts, traffic, and shadow flicker.	This Plan
31	The endorsed complaints investigation and response plan must be publicly available on the wind farm operator's website.	The website listed in Section 1
32	The plan must be prepared in accordance with Australian/New Zealand Standard AS/NZS 10002:2014 – Guidelines for complaint management in organisations and should include:	Section 1, Table 1.1
No.	Condition wording	Reference
	<p>a) A process of investigation to resolve a complaint</p> <p>b) A requirement that all complaints will be recorded in an incidents register</p> <p>c) How contact details will be communicated to the public</p> <p>d) A toll-free telephone number and email contact for complaints and queries</p> <p>e) Details of the appropriate council contact telephone number and email address</p> <p>f) A table outlining complaint information for each complaint received, including:</p> <ul style="list-style-type: none"> • The complainant's name • Any applicable property reference number if connected to a noise testing location • The complainant's address • A receipt number for each complaint which is to be communicated to the complainant • The time, prevailing conditions and description of the complainant's concerns including the potential incidence of special audible characteristics (for a noise complaint) • The processes of investigation to resolve the complaint <p>A report including a reference map of complaint locations, and outlining complaints, investigation and remediation actions is to be provided on an annual basis to the satisfaction of the Minister for Planning.</p>	<p>Sections 3.7, 3.8</p> <p>Section 5</p> <p>Section 2.3, 2.4</p> <p>Section 2.4</p> <p>Section 2.5</p> <p>Section 5.1, Table 5.1</p> <p>Section 6.2</p>
33	The register and complaints response process shall continue for the duration of the operation of the wind energy facility and must be made available to the Minister for Planning periodically as stated within the Complaint Investigation and Response plan and on request by the Minister.	Section 1.1
34	The owner of the wind energy facility must implement and comply with the approved Complaint, Investigation and Response Plan for the duration of the operation of the wind energy facility.	Section 1.1

2 Lodgement of Enquiries and Complaints

2.1 Principles

This CIRP is based on the following principles:

- SHWFPL recognises everyone has a right to complain and complainants should be treated with respect;
- SHWFPL will aim to ensure that no detriment to a complainant results from a complaint being lodged;
- SHWFPL will aim for visibility and transparency of how and where a complaint can be made; and
- SHWFPL will aim to ensure accessibility of the Enquiries and Complaint Management System.

2.2 Accessibility

SHWFPL will aim to ensure the complaints system is accessible to everyone and will provide support to people to make an enquiry or complaint as required. Under no circumstances will SHWFPL charge a fee or levy for receiving and processing enquiries and complaints.

SHWFPL will aim to ensure visibility and transparency of the Complaints and Enquiries Management System by providing information about how and where a complaint may be made. Avenues for making a complaint are described in the following section.

2.3 Communication

Information concerning the complaints-handling process, such as brochures, pamphlets, or electronic-based information, will be publicised and made readily available to stakeholders, complainants and other interested parties. Information will be provided in plain English and in formats accessible to all, so that no complainants are disadvantaged. Complaints related information will include details on:

- how and where complaints can be made;
- information to be provided by the complainant;
- the process for handling complaints;
- time periods associated with various stages in the process;
- the complainant's ability to propose alternative options
- how the complainant can obtain feedback on the status of the complaint.

2.4 Avenues for Public Contact

Avenues for public enquiries or complaints relating to the SHWF project are shown in Table 3.1.

Table 2.1: Public contact details for Stockyard Hill Wind Farm

Method	Process
In person	By arrangement at the Site Office - Operations & Maintenance Facility, Melbourne office (shown below) head office or another agreed location (e.g. complainants address).
Telephone	1800 753 730
Email	contact@stockyardhillwindfarm.com.au
Post	Level 27, 140 William Street, Melbourne VIC 3000 AUSTRALIA
Website	https://www.stockyardhillwindfarm.com.au/

2.5 Complaints and Enquiries Process

A diagram outlining the process for handling enquiries and complaints is provided below.

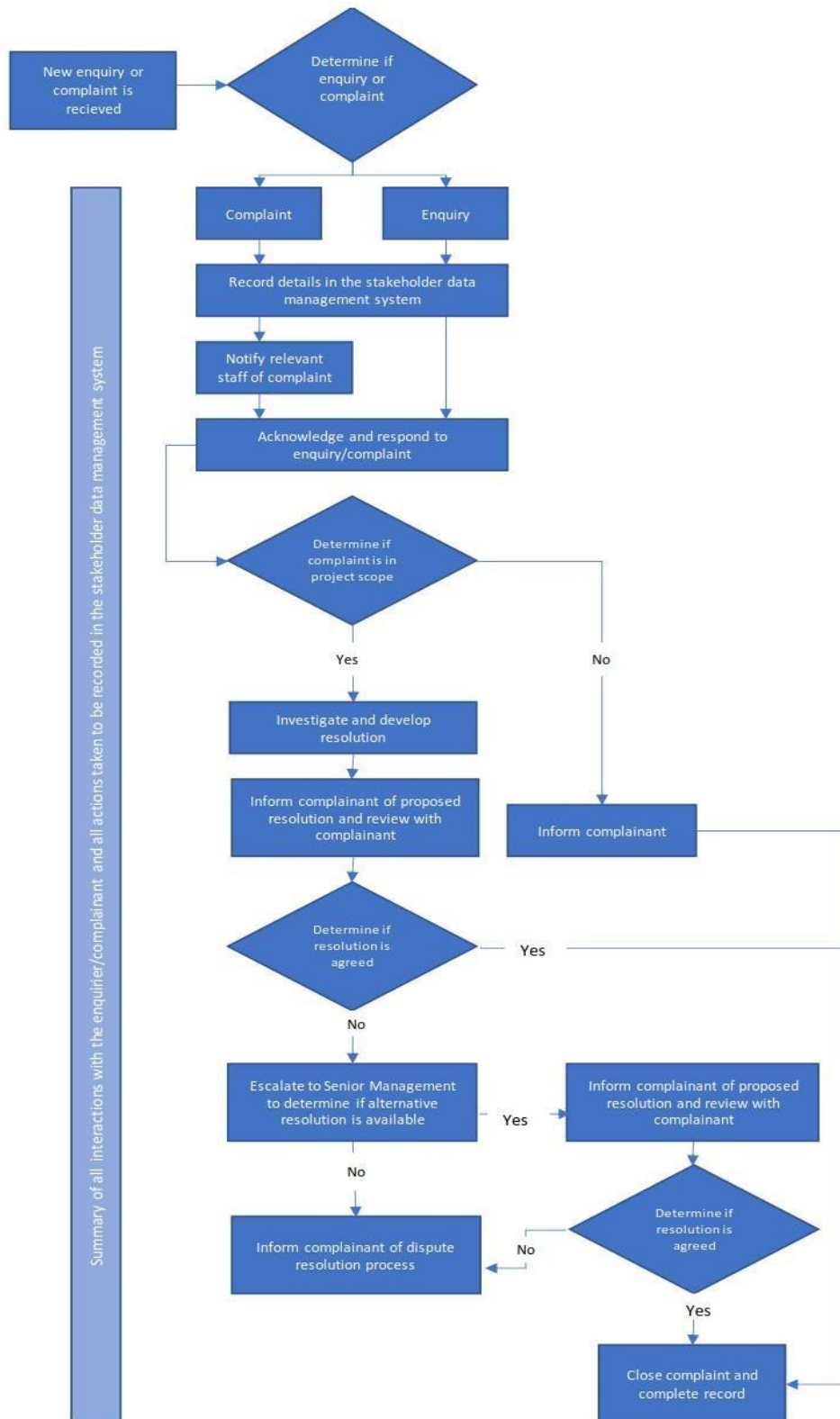


Figure 2.1: Enquiry and Complaints process flow diagram

2.5 Complaints made to Pyrenees Shire Council

As the host municipality for the SHWF project, it is anticipated that Pyrenees Shire Council (phone: 03 5349 1100 or pyrenees@pyrenees.vic.gov.au) may receive enquiries or complaints relating to the SHWF

project. It is also possible that complaints may be lodged with SHWF which following investigation, do not relate to the SHWF project and may be more appropriately directed to Council of other regulators or parties following an initial investigation.

Handling of complaints has been discussed with Pyrenees Shire, with agreed actions as follows:

- If a complaint is received by Pyrenees Shire Council relating to SHWF but is outside Council's legal jurisdiction to investigate or administer, Council will notify SHWF representatives and forward any written correspondence relating to the matter to SHWFPL and will notify the complainant where their complaint should most appropriately be directed.
- Pyrenees Shire Council will investigate complaints relating to SHWF where it has the legal responsibility to do so and will investigate complaints in line with Council's complaint's policy.
- SHWFPL will not formally respond on behalf of Pyrenees Shire or any other party in relation to complaints which do not relate to the SHWF project, however will notify the Shire (or other Responsible Authority) following an initial review, and forward any written correspondence relating to the complaint to the appropriate party.

3 Managing Enquiries and Complaints

3.1 General Principles

SHWFPL will aim to manage enquiries and complaints in line with the following general principles:

- To acknowledge each complaint and enquiry promptly and as soon as is reasonably practical;
- To manage each complaint or enquiry in an objective, unbiased and equitable manner;
- To treat any personally identifiable information in line with relevant privacy laws and ethical obligations; and
- To ensure communication of policies, procedures and decisions with relevant complainants and staff.

It is important to distinguish at the outset between an **enquiry** and **complaint** as there are different paths to resolution and closure. It may be necessary for Project staff to seek clarification from the complainant / enquirer in order to determine the correct path to follow.

3.2 Training and Awareness

All SHWF staff and contractors with potential to receive a complaint shall receive training in:

- Identifying if extra assistance is required to accurately convey the complaint;
- How to provide acknowledgment of a complaint;
- The complaint management process;
- Communicating resolutions and / or mitigation;
- Escalation paths; and
- Reporting requirements.

3.3 Confidentiality, Privacy, and Fairness

SHWF employees will manage enquiries and complaints in accordance with the following requirements:

- Enquiry and complaint information must be kept confidential and not released to third parties without GWA Department Manager authorisation.
- The identity of persons dealing with enquiries should be protected, with regard to releasing minimal information (such as first name) to the complainant.
- Personal information relating to complaints must be protected and not shared publicly including but not limited to:
 - Dates of birth;
 - Physical or mental health or disability;
 - Financials;
 - Phone numbers; or
 - Addresses (email and physical).
- In the event of multiple parties being involved then representatives from each are to be identified and a suitable communication and consolation mechanism implemented.

3.4 Code of Conduct

All SHWF project staff are to abide by the following code of conduct:

- Be polite and courteous at all times.
- Maintain discretion and confidentiality where required.
- Inform the complainant if their behaviour borders on unacceptable behaviour and of the consequences of a breach by the complainant (such as alternative arrangements to handle the complaint, restricting service or terminating service altogether).

3.5 Process for Receiving and Resolving Enquiries

The following process for receiving enquiries would be carried out on receipt of an enquiry:

- 1) The person receiving the enquiry provides details of the enquiry to the Community Engagement Officer.
- 2) Enquiry is received, and all details logged in the stakeholder data management system by the SHWF Community Engagement Manager or directly by the staff member who has received the enquiry.
- 3) The SHWF Community Engagement Manager shall aim to acknowledge receipt of the enquiry within three working days, or as soon as reasonably practical.
- 4) The enquiry will be resolved at first point of contact wherever possible.
- 5) Depending on the nature of the enquiry, in some cases it may not be possible to respond within this timeframe. In such cases, this shall be analysed in depth and reported to the GWA senior management in order to minimise the impact on affected parties.
- 6) In all instances, enquiries should be responded to, and successfully resolved where possible, within five working days.
- 7) All correspondence will be documented in Stakeholder data management system.

3.6 Process for Receiving and Responding to Complaints

Complaints should be handled in a manner intended to lead to an effective resolution as quickly as possible. The following describes the process to be carried out on receipt of a complaint:

- 1) Complaint is received, and all details logged in the stakeholder data management system (see Attachment A).
- 2) Relevant team members shall be notified of the complaint, including but not limited to:
 - SHWF Community Engagement Manager
 - Owners Project Manager
 - EPC Project Manager
 - Construction Site Manager
 - HSE Manager (as required)

- 3) The SHWF Community Engagement Manager (or other nominated person relevant to the complaint) shall acknowledge and provide an initial response to the complaint.

- 4) Initial response timescales for complaints shall be:
 - a) Where complaints are received in person, an acknowledgement and initial response will be provided immediately if possible, or if circumstances do not allow, within 24 hours (or next working day).
 - b) Where complaints are received by telephone or email an acknowledgement and initial response will be provided within 24 hours (or next working day) of the complaint being received.
 - c) Where complaints are received by post, and no email or phone contact is provided, a written response will be made within two working days.

- 5) The initial response to an enquirer / complainant should:
 - Acknowledge the enquiry / complaint has been received;
 - Ask for further information, if thought necessary to help resolve it; and
 - Explain the process and commit to provide a proposed resolution or an update within five working days.

The initial response does not necessarily need to include a resolution to the complaint if it is not available at the time.

3.7 Investigation of Complaints

The following describes the investigation process to be carried in following receipt of a complaint:

- 1) The SHWF Community Engagement Manager and Project Manager (or other nominated person) shall assess whether the complaint is within the Project's scope. They will also assess if more than one issue is raised and if so, whether each issue needs to be separately addressed. Should any issue be deemed outside of the Project's scope, the complainant will be informed as soon as practicable, provided with an explanation as to why it is considered out with the Project's scope, and the complaint closed.
- 2) The SHWF Community Engagement Manager may request the Project Manager or delegate to collect further information from the complainant if required. Relevant members of the Project Team may be asked to further investigate the complaint and seek mitigation or resolution measures.
- 3) If deemed necessary by the Project Team, the complaint will be escalated internally to Senior Management for review and resolution.

- 4) An update on investigations and proposed resolution (if available) will be provided within five working days (or sooner if possible) of receipt to the complainant, by the SHWF Community Engagement Manager or delegate
- 5) Further updates will be provided to the complainant as required until the complaint is closed.

3.8 Resolution of Complaint, Follow Up and Closing Complaints

Results of investigations and proposed resolution measures will be communicated to the complainant. SHWFPL will work with the complainant to develop a solution to the issue.

Communication of the resolution should include:

- What actions were taken in response to the complaint;
- The outcome(s) of the complaint;
- The reasons for any decisions made;
- Any remedy or resolution offered;
- Request for feedback from the complainant as whether the information provided has resolved their complaint; and
- Information on other reviews, appeals or avenues available to the complainant.

A Complaint will be considered closed when a complainant advises that they consider the complaint resolved. Alternatively, if no response is received from the complainant within ten working days, the complaint will be considered closed.

The outcome of a complaint, any rectification measures or undertakings and relevant conversations are to be recorded in the stakeholder data management system.

If a complaint is not resolved with **30** working days of receipt, the dispute resolution process described in Section 4 shall be used.

4 Accountability, Learning and Prevention

4.1 General Principles

SHWFPL will aim to manage enquiries and complaints in line with the following general principles:

- To ensure that accountability for the operation of its complaint management system is clear;
- To seek to minimise the possibility of complaints escalating into ongoing disputes.

The SHWF Project Team aims to attain satisfactory resolution of a complaint or dispute within 30 working days.

4.2 Internal Escalation Options

Should satisfactory resolution or mitigation look unlikely to be reached with the complainant, internal escalation options may be considered at any point. These include:

- Raise unresolved resolutions / mitigations with the Department Manager.
- Determine if a reasonably practical alternative resolution or mitigation can be offered.
- Discuss alternative resolution or mitigation with complainant.
- If no satisfactory resolution can be reached, the complainant should be advised of the Dispute Resolution process.

4.3 Dispute Resolution

In the event that agreement cannot be reached between the project team and complainant, as to resolution of a specific complaint, it may be necessary to seek involvement of an independent impartial third party (i.e. external party) to facilitate mediation of the matter.

The details of the process and facilitator will depend on the scope of the complaint, issues involved and appropriateness of the facilitator for the matter to be resolved. SHWF will aim to constructively participate in any required mediation process. If the dispute is not resolved within the 30-day timeframe allowed for internal dispute resolution, the following mediation system shall be triggered:

- The person who received the complaint shall contact the SHWF Community Engagement Manager and provide full details of the complaint, including any preliminary investigations or correspondence with the complainant.
- The SHWF Community Engagement Manager shall contact the complainant and instigate the appropriate mediation process.
- Mediation will normally occur within 10 working days of both parties agreeing to the appointed mediator
- The appointed mediator shall organise the time and place for the mediation to occur.
- The applicant and respondent may be required to provide the mediator with a brief statement setting out their position with regard to the issues that need to be resolved in addition to other information requirements.
- At the conclusion of the mediation session the complainant and respondent, with the mediator to prepare a written summary of any resolution for agreement by all affected parties.
- If mediation is not successful, the mediator will report this to the SHWF Community

Engagement Manager and the complainant will be advised of their rights to pursue the matter further.

5 Data Collection and Record Keeping

5.1 Recording Information in the Stakeholder Data Management System

All interactions with stakeholders in relation to enquiries and complaints is to be recorded in the stakeholder data management system.

This system is a secure database that is used for all GWA projects. The stakeholder data management system will act as the Complaints Register for the duration of the operation of the wind energy facility. The system enables the generation of a variety of reports for the review, presenting and auditing of complaints / enquiries throughout the life of the project.

Each separate enquiry will be logged under the “Interaction” category. Each separate complaint received will be logged in the same manner but as a ‘Complaint’. Table 4.1 lists the information to be recorded.

Table 5.1 : Complaint information to be recorded

Information field	Complainant’s details
Name	
Any applicable property reference number if connected to a noise background testing location	
Complainant’s address	
Complainant’s contact information	
Receipt number for each complaint (which is to be communicated to the complainant)	
Time	
Prevailing conditions	
Description of the complainant’s concerns (including the potential incidence of special audible characteristics for a noise complaint)	
The process of investigation to resolve the complaint	
A report including a reference map of complaint locations, and outlining complaints. Investigation and remediation actions to be provided on an annual basis to the satisfaction of the Minister for Planning.	
Outcome sought by complainant	
Any support requirements needed by the enquirer or complainant	
Any other relevant information	

6 Monitoring and Reporting

6.1 Reporting

The following reporting will be undertaken:

- Details of complaints received will be included in compliance reports and made available to the Responsible Authority and relevant parties on request.
- Monthly community progress reports from the stakeholder data management system will be circulated internally. These will identify issues and strategies / actions to manage the issues.

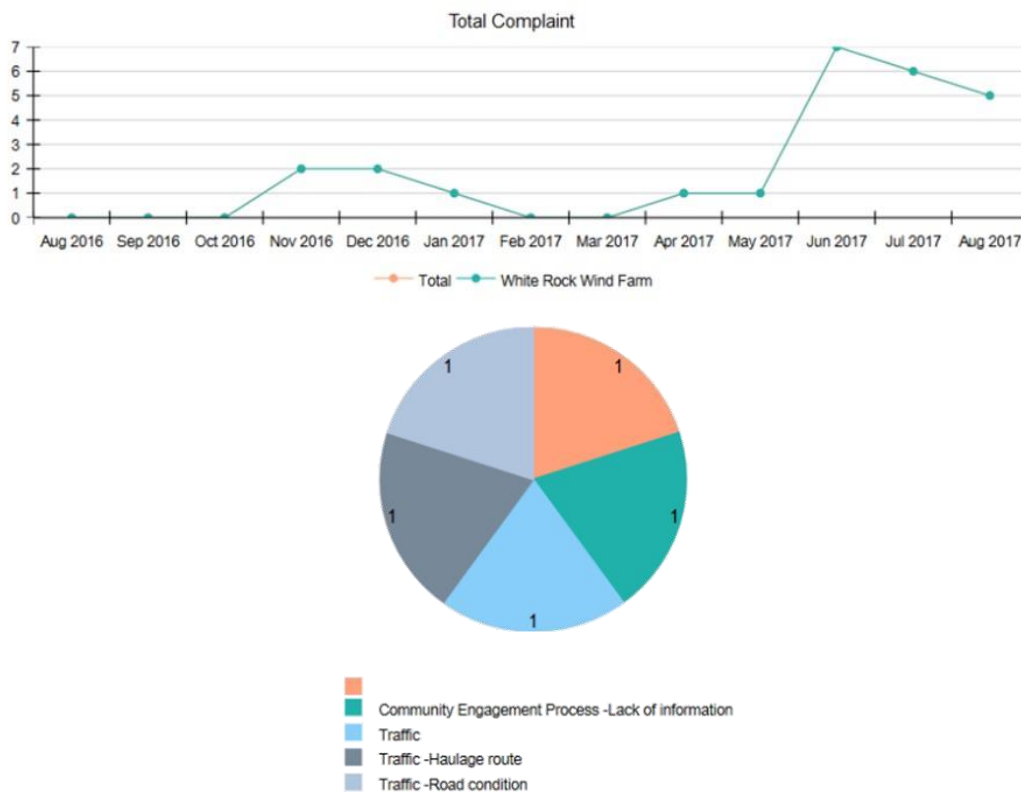
6.2 Reporting to the Minister for Planning

Monthly reports from the stakeholder data management system will be used to generate consolidated summary reports on a quarterly basis showing complaint locations, and summarising complaints received, the investigation and remediation actions undertaken, and the outcome of these actions.

These reports will be provided to the Minister for Planning on an annual basis and made available on request.

For the purpose of summary reporting, complaints data should be aggregated and grouped according to complaint type and location, with any names, addresses, or personal information removed.

Examples of reports produced by the stakeholder data management system are shown below.



7 Review and Continual Improvement

The Enquiries and Complaints Management System shall be subject to regular audits to ensure conformity to this plan and to continually improve effectiveness and efficiency.

The results from audits shall be reported to the GWA Senior Management Team and relevant stakeholders quarterly in the GWA HSEQ Quarterly Report.

Separate internal and external independent audits shall be conducted annually, commencing from the date of approval and in accordance with the CO-PRC-0004 Audit and Inspection Procedure.

Review of individual complaints may be subject to three internal levels of review, front-line staff, SHWF Community Engagement Manager, GWA executive review and, if necessary independent mediation for resolution of disputes.

Attachment A: Recording Complaints in the Stakeholder Data Management System

All correspondence in relation to complaints is to be recorded in the SHWF database in the stakeholder data management system by SHWF project staff. The Information should include:

- Unique identifier for each complaint;
- Contact information of enquirer or complainant;
- Issues raised;
- Outcome sought by complainant;
- Any other relevant information; and
- Any support requirements needed by the enquirer or complainant.

A step by step guide is provided below to record complaints in the stakeholder data management system

1. Click on the plus sign button on the left-hand side of the screen
2. Click on the Complaints Tab
3. Add New Complaint
4. Complete all fields as required with information from the initial complaint.
 - a) Subject
 - b) Priority
 - c) Method
 - d) Status
 - e) Assigned by
 - f) Assigned to
 - g) Date opened
 - h) Date Due
5. Under the Message Tab, update the comments to include issues raised, outcome sought by complainant, any other relevant information and any support requirements needed by the enquirer or complainant.
6. When all information is entered, press the Save and Open Record Button in the top right-hand corner of the screen to allow classification of details.
7. Use the classification tree to highlight and classify the issues raised.
8. When complete, save entered data by pressing the save button
9. Under the "Notifications" Tab, update all fields and assign to the relevant staff member.
10. Click save and send notification. This sends an email to the relevant staff member to highlight the action required by them. Click save.
11. Escalation of notification can be included also.
12. Once the Complaint is deemed closed, update the original Complaint to include the Date Closed date.

Attachment B: Template Letter Text for Initial Response to a Complaint

The sample text below should be used as a basis for any written initial response to a complaint. SHWF letter headed paper should be used for any printed correspondence.

Dear [name of complainant],

Thank you for your [letter/email] dated [xxx]. We thank you for your correspondence and acknowledge your complaint in relation to [e.g. dust/noise/traffic].

A unique reference number has been allocated to your complaint within our internal Complaint Management System. It is [Stakeholder data management system auto created reference].

SHWF takes compliance and community relations very seriously. We are committed to working with the community to ensure Stockyard Hill Wind Farm is meeting the compliance requirements of the Project Approval and limiting any adverse impacts arising from the project.

We understand the specifics of the complaint relate to [include summary of complaint].

In order to assist us in investigating the circumstances at the time of the complaint and seek a resolution, we would be grateful if you could provide further information. In particular:

- [e.g. specific time of complaint]*
- [e.g. location of complainant at time of complaint]*
- [e.g. description of issue]*
- [e.g. any other useful details]*

We will pass the details of the complaint to our Project Manager and Construction Site Manager. We will investigate the circumstance at the time of the complaint. Should any evidence of non-compliance with the Project Approval, Health and Safety legislation or other relevant legislation be found, Stockyard Hill Wind Farm will act accordingly to rectify the situation.

I will provide an update on our investigations within a week and a proposed resolution. If investigations continue beyond a week, I will provide subsequent updates as necessary.

Please don't hesitate to contact me to discuss further.

Kind regards,

[name]

[Position]

On behalf of Stockyard Hill Wind Farm Pty Ltd

[contact detail]

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Effective Date: 28 October 2017]

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Complaints Investigation and Response Plan

