

Improving Aucklanders' experiences with Auckland Transport through responsive, empathetic and high quality customer complaints handling and insights to action

For decision: For noting:

Te tūhonga / Recommendation

That the Auckland Transport Board (board):

- a) Note the improvements made to Auckland Transport's (AT's) Customer Complaints Programme through 2021 (Policy, Procedures, Reporting & Insights).

Te whakarāpopotanga matua / Executive summary

1. Complaints from customers and stakeholders provide AT with an opportunity to genuinely resolve issues and concerns, improve confidence in AT and create advocates. They can also provide rich insights into ways AT can improve our services and experiences for Aucklanders and improve safety on our network.
2. Complaints account for less than 0.1% of total customer interaction volume through all our channels, approximately 1,500 per year, and while seemingly small as a %, successful resolution of all and dealing systemically to root causes is what matters to us, our customers, and our stakeholders.
3. In 2021 we thoroughly reviewed all aspects of our complaints programme, improving the way and ease with which people can contact us, and introducing a more customer focused approach to handling complaints, (reflected in updates to our policy, procedures, and staff training). Changes made were endorsed by the Ombudsman's Office and align AT to international standards in complaint handling (ISO 10002). We have also leveraged our investment and implementation of the Customer Relationship Management (CRM) system to more effectively track our responsiveness, types of complaints, and generate insights, enabling greater performance transparency and visibility of improvement opportunities.
4. In September we introduced new Statement of Intent (SOI) accountability targets to resolve 80% of all complaints within 20 working days and less than 0.75% of all cases logged with AT resulting in a formal complaint.
5. A new customer feedback loop post complaint resolution has been introduced asking customers about their satisfaction with our people and process (complaint handling) and for confirmation of resolution.
6. These improvements also fulfil and complete the recommendations related to complaints management made in July 2020 by the independent panel responsible for the review of Council Controlled Organisations (CCOs).

7. As these improvements are bedded in, our intention is to move beyond the transactional aspects to deeper insight generation to unlock AT wide improvement opportunities. These are shared with the Whirinaki and Customer Experience Steering Group for oversight and prioritisation.

Ngā tuhinga ō mua / Previous deliberations

8. There have been no previous deliberations on this topic.

Te horopaki me te tīaroaro rautaki / Context and strategic alignment

9. To build trust, confidence and mana with customers and stakeholders, it is critical that when things do go wrong with our products or service, it is easy to let us know and that we listen, acknowledge, investigate thoroughly and objectively in a timely manner, and then respond to and resolve concerns appropriately and with empathy.
10. AT's Customer Services Group have led the customer complaints improvement programme of work as part of our Whirinaki goals of building trust, confidence, and mana with our customers, communities, and stakeholders.
11. The goal has been to improve the responsiveness, transparency, objectivity, and quality of complaints handling and to introduce a more structured reporting and insights framework to better inform and enable AT enterprise level improvement to products, services, and service interactions.
12. Changes have been made with input from:
 - a. Recommendations from the independent review of CCOs;
 - b. Collaboration with the Ombudsman's office (including Ombudsman review and endorsement of changes to our complaints handling processes);
 - c. Collaboration and benchmarking with Auckland Council and Watercare;
 - d. An internal review of policy and processes; and
 - e. The voice of our People and Customers.

Ngā matapakinga me ngā tātaritanga / Discussion and analysis

13. The Customer Complaints Programme improvements outlined below have addressed the CCO review and Ombudsman recommendations, as well as opportunities identified by the internal squad formed to review and implement changes.

14. Improvements have been made to:
 - a. AT's Customer Complaints Policy (including a rewrite of the policy in plain language);
 - b. Complaints handling procedures (including interactions with both customers and third parties such as representative(s) of complainants and AT's service partners); and
 - c. Reporting and insights (including the introduction of new customer feedback and satisfaction measures and revised Auckland Council SOI measures).
15. Together, these changes will improve the transactional customer experience when making a complaint to AT and, importantly, via our insights programme, will ensure the aggregated voice of our customers and stakeholders via this channel is heard and appropriately acted upon.
16. The Customer Services Group, and specifically our Customer Care Team and Case Managers are AT's custodians of complaints. Using a hub and spoke model, they own the relationship with the customer and liaise externally and internally with AT's service providers and internal divisions of AT to respond to and resolve concerns from customers and stakeholders. Resolutions can require engineering assessment(s).
17. In the FY20/21, AT received 1,513 formal complaints. For relativity purposes this represents:
 - a. 0.53% of all service requests logged as a case in our Customer Relationship Management (CRM) system;
 - b. 0.16% of all assisted contacts (which includes enquiries resolved at first contact by our contact centre and service centre teams); and
 - c. Only 0.004% of the 42 million digital and assisted customer interactions the people of Tāmaki Makaurau had with AT.
18. Of those formal complaints 79% were resolved within 20 working days, with an average time to resolution of 14 days. This includes cases that require engineering assessment(s) which can be complex and require active prioritisation and focus with AT business units. Our SOI targets with Auckland Council are 80% resolved within 20 working days and that less than 0.75% of cases result in a formal complaint.
19. For the 12 month period year to date February 2022, the average time to resolution has increased to 17 working days, driven by the August - October 2021 COVID-19 restrictions preventing progress on some engineering assessments.
20. In July 2020, the independent panel review of CCOs recommended that:
 - a. CCOs report regularly on the nature of the complaints they receive and how long they take to resolve them (recommendation 54);
 - b. CCOs' statements of intent contain a key performance indicator on complaint-handling (recommendation 55).
21. In April 2021, the Ombudsman recommended AT make improvements to our:
 - a. Complaints model, specifically removing the Ombudsman's Office from the third stage of the model, and replacing it with an internal review panel;
 - b. Third party consent procedures;

- c. Guidance for staff about how to conduct complaint investigations.
22. In the two calendar years 2020 and 2021 a total of 55 complaints went to the Ombudsman's Office for review. In all but one instance the Ombudsman found that AT had acted reasonably and upheld AT's position.
23. Key changes to the Customer complaints programme that have already been implemented are:
- a. Updates to AT's Customer Complaints Policy:
 - i. Updated Guiding Principles to include 'transparency' and 'confidentiality and third-party consent' approach;
 - ii. Updated the Complaint Management Model reflecting feedback from the Ombudsman;
 - iii. Updated roles and responsibilities under the Policy; and
 - iv. Updates to AT's website to ensure our approach to complaints and our contact channels are easy to access and communicated clearly, from a customer point of view.
 - b. Revision of AT's complaint handling model including:
 - i. An additional review step, providing a structured and coordinated escalation pathway if required;
 - ii. The introduction of new tools/templates and procedures to standardise complaint investigations, ensuring complaints are handled fairly, proportionately, impartially, and thoroughly. Examples include:
 - 1. Standard complaint investigation form/template, ensuring clarity, consistency, and confidence for Case Managers;
 - 2. An internal review panel for assessing escalated or dead-locked complaints;
 - 3. Prescribed procedures for ensuring privacy, including obtaining consent when third-parties are involved.
 - iii. Keeping cases open for five working days following AT's initial response and encouraging customers to provide further comment, upholding natural justice. We are now aligned with the international standard in complaint handling (ISO 10002).
 - c. New reporting that focuses on the "so what" (insights) in addition to transactional measures (volumes and timeliness).
 - d. A newly established Customer Insights to Action role to facilitate and oversee the provision of insights and to work with cross-functional teams on any agreed enterprise-level product and service improvement (with guidance and prioritisation via the Whirinaki Steering Group).
 - e. The introduction of a post complaint customer satisfaction survey that will better inform how we're doing. This will seek feedback on both the outcome and process components of the customer's interaction with AT.

- f. New SOI measures that set and measure our expectation of responsiveness to customers and the quality of our first interactions with customers (as measured by % of cases resulting in a formal complaint).

24. These changes have been communicated AT-wide, including the updating of our e-learning module on Customer Complaints.

Ngā tūraru matua / Key risks and mitigations

25. The improvements implemented address key risks to reputation and compliance identified through the programme. Namely:

Key risk	Mitigation
Reputational risk if complaints are not responded to in a timely, objective, and transparent manner	<ul style="list-style-type: none"> • New reporting and measures on resolution timeliness. • Additional review steps, including an escalation panel, in handling individual complaints. • Standardised investigation tools. • Introduction of post complaint feedback from customers.
Reputational and health and safety risks if systemic product or service issues are not surfaced and addressed through the complaints programme	<ul style="list-style-type: none"> • Introduction of Complaints Program governance via the senior Whirinaki Steering Group forum. • Introduction of an insights program, supported by resource, to identify and track system wide improvement opportunities.
Customer privacy risk where third parties are involved in complaints	<ul style="list-style-type: none"> • New procedures (and supporting staff training) to ensure consents are obtained when dealing with third parties and awareness and compliance with Privacy Principles when handling complaints. • Improved customer notifications covering 'How we use your information.'

Ngā ritenga-ā-pūtea me ngā rauemi / Financial and resource impacts

26. There are no material financial impacts. The Customer Services Group funded the improvements and new Insights Business Partner role through budgeted operating expenditure.

Ngā whaiwhakaaro ō te taiao me te panonitanga o te āhuarangi / Environment and climate change considerations

27. No directly related considerations.

Ngā whakaaweawe me ngā whakaaro / Impacts and perspectives

Mana whenua

28. While we have more to do to ensure our Complaints handling (including resolution of disputes) reflects tikanga Māori, our procedure updates are in keeping with Te Ao Māori. For example:
- a. Ensuring we first listen to the voice of our customers (via **any** channel).
 - b. Taking a comprehensive approach to investigations which considers the parties involved and their values. For example, acknowledging the co-existence of the spiritual and physical, considering the nature of the dispute and how historical underlying problems or interests may need to be addressed. For instance, where the mana of an individual or group has been impacted by an AT action.
 - c. Providing opportunity for panel-based review and customer challenge through the process, with a focus on natural justice.
29. We can also support complaints processes in Te Reo Māori where requested and our team will apply AT's values when handling complaints - the values of Whanaungatanga, and Manaakitanga being particularly relevant.
30. In our insights programme, (which will include post complaint feedback capturing ethnicity where shared by customers), will also consider Māori outcomes and opportunities at a thematic AT enterprise level in addition to individual complainant outcomes.

Ngā mema pōti / Elected members

31. Consideration has been given to feedback provided by local boards during two recent 'sprint' engagements. The key feedback being addressed as a part of these improvements is:
- a. Respond in a timely manner to our constituents; and
 - b. Listen and act (where appropriate) to ensure the same concerns or issues don't repeat.

Ngā rōpū kei raro i te Kaunihera / CCOs

32. A working group was formed comprised of the Department Leaders of the CCO teams responsible for Complaints Handling. This group met on a monthly basis through 2021, shared best practice, and agreed on consistency of definitions and reporting, guided by international standard in complaint handling (ISO 10002).

Ngā whaiwhakaaro haumaruru me ngā whaiwhakaaro hauora / Health, safety and wellbeing considerations

33. The improvements will benefit the safety and well-being of customers and AT staff through:

- a. A standardised process, empowering staff with the tools and training to handle complaints effectively.
 - i. This is supplemented by recently updated “Threats, Aggression, and De-escalation” training for Customer Services Group staff and publicly by the recent “No Excuse for Abuse” campaign sponsored by Council.
- b. Improved internal tools, channels/forums, and reporting for identifying, raising, and addressing safety concerns raised via AT’s complaints channel.
 - i. Insights focus and governance of priority focus areas and AT-wide reporting via Whirinaki Steering Group.


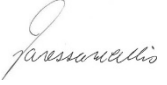
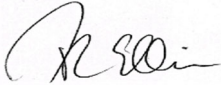
Ā muri ake nei / Next steps

34. Embedding of recent changes, implementation of the post complaint customer feedback survey, and continued monitoring and improvement of the program with oversight from the Whirinaki Steering Group.

Ngā whakapiringa / Attachments

Attachment number	Description
1	AT Customer Complaints Policy
2	AT Customer Complaints Handling Procedures

Te pou whenua tuhinga / Document ownership

Submitted by	Jason Dempsey Group Manager Customer Services pp. 
Recommended by	Vanessa Ellis Executive Group Manager, Customer Experience 
Approved for submission	Shane Ellison Chief Executive 



Formal Complaint Management Policy

Date: December 2021



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Formal Complaint Management Policy

1. Policy statement

Auckland Transport (AT) values all feedback, including formal complaints. As a Council Controlled Organisation (CCO) we are accountable to our customers and rate payers. Customer satisfaction is one of our highest priorities and all employees of Auckland Transport and its service delivery partners play a role in delivering a high-quality service.

2. Purpose

The purpose of this policy is to define AT's principles and approach to managing formal complaints, to ensure a consistent approach to investigating, responding to and learning from formal complaints. This policy is supported by the Complaints Management Procedure, which provides further operation guidance on how formal complaints are managed.

3. Scope

This policy applies to:

- All AT employees and AT representatives (such as contractors, consultants, agency temps, staff on secondment, or volunteers)
- All formal complaints handled by Auckland Transport as defined in this policy

Out of scope

This policy does not apply to:

- Interactions or requests to or about AT not deemed to be a formal complaint, as defined in this policy under "what isn't a formal complaint"



4. Definitions

Term	Definition
Anonymous complaints	<p>A complaint made by someone who wishes to remain anonymous and not reveal their name or contact information</p> <p>Please note Auckland Transport will investigate anonymous complaints, provided we have received enough information and it is practical for us to do so.</p> <p>If insufficient information is provided about the complaint and/ or parties involved and we are unable to contact the customer to seek clarification or request additional information, this may prevent or hinder a thorough investigation.</p>
Formal complaint	<p>An explicit expression of dissatisfaction about an Auckland Transport management of a case, or outcome, whether justified or not and where a resolution or formal investigation is expected or implied.</p> <p>It includes complaints regarding Auckland Transport service providers (defined below) and feedback relating to the performance and behaviour of an AT staff member.</p> <p>What isn't a formal complaint:</p> <ul style="list-style-type: none">• An initial request for works or service or provision of a new service• General feedback made to Auckland Transport• Issues resolved at first contact by frontline staff• Feedback as part of a formal consultation process• A request for information relating to AT policy or procedures• A request for compensation• A suggestion about our services, policy or procedures• A request to waive an infringement notice• A request made under the Privacy Act 2020 or Local Government Official Information and Meetings Act 1987• A request or complaint that is managed separately under AT's unreasonable conduct process/policy• Feedback and comments of a negative nature that do not warrant a formal investigation and/or response, as they can be resolved immediately by following the 'Frontline Resolution' process• Anyone wishing to raise concerns through the investigations team in Risk and Assurance, or via AT's confidential whistleblower service
Service provider	Any third party providing a customer facing service on behalf of Auckland Transport
Unreasonable complaints or conduct	<p>Complaints or conduct that substantially impacts:</p> <ul style="list-style-type: none">• The health, safety, and wellbeing of our staff• Our ability to do our work or perform our functions in the most effective and efficient way possible• Our ability to allocate resources fairly across all complaints we receive



5. Guiding principles

Our guiding principles when managing any complaint are:

Visibility and access: We will provide clear and easy to understand information to our customers, teams, and stakeholders on how to lodge a complaint and the process that AT will follow.

To support this:

- Our Auckland Transport website and intranet will display the most up to date policy and framework to ensure that customers and teams are informed.
- We will accept complaints made by anyone, including members of the public or other stakeholders and through a variety of channels (e.g., in person, phone, email, online form)
- We will make services available to help and support those with speech, hearing, or visual impairment in making a complaint.
- Where possible we will also have multi-lingual staff available to speak to customers in their preferred language

User-friendly: We will make sure our customer complaint management process will always be easy to access and follow.

Responsiveness: We will manage each complaint in an efficient and effective manner. We will treat our customers respectfully and empathetically and keep them regularly updated.

We will make sure teams who deal with customer complaints receive ongoing training and development with access to supporting resources

Fairness: We will manage each complaint fairly and impartially. Remedies offered will be fair and reasonable to the customer, Auckland Transport and/ or our service delivery partners. In addition, we will have measures in place to address any customer conduct that negatively and unreasonably affects our staff or the organisation. Refer to [Dealing with unreasonable complaints or conduct](#).

Assessment and action: When we receive a complaint, we will take reasonable steps to make sure we have enough information to understand the problem and how best to manage it. If we are unable to address a complaint directly, we will refer this to the appropriate agency or organisation where possible and let the customer know.

Feedback: We will monitor each complaint throughout its investigation until an outcome is communicated and/ or any corrective action is taken. If the customer is dissatisfied with the outcome, we will let them know what their options are.

Confidentiality: We will maintain the confidentiality of all personal information. We will not disclose it outside the organisation without prior permission of the customer, unless:

- We are legally obliged to do so, or
- We obtain permission of the affected individual prior to disclosure (includes third parties acting on behalf of a complainant), and
- The identity of all the affected individuals has been verified



Please note that AT provides some services in partnership with other organisations and it may be necessary to share information with partners to resolve complaints in line with our Customer Privacy policy.

Accountability: We will report on our results, look to analyse, and correct trends and be responsive and accepting of feedback on the process from our customers. We will keep ourselves accountable by following the requirements of the AS/NZS IS10002 Standards; Guidelines for complaint management in organisations.

We will ensure that reporting on complaint actions and decisions is clearly established. Reporting will enable our team to analyse trends and introduce mitigations to reduce systemic issues.

Continual improvement: We will record, monitor, and analyse complaint feedback and trends which we will share with the appropriate stakeholders on a regular basis. We will use this feedback to fix problems and drive improvements. This is an ongoing priority for Auckland Transport.

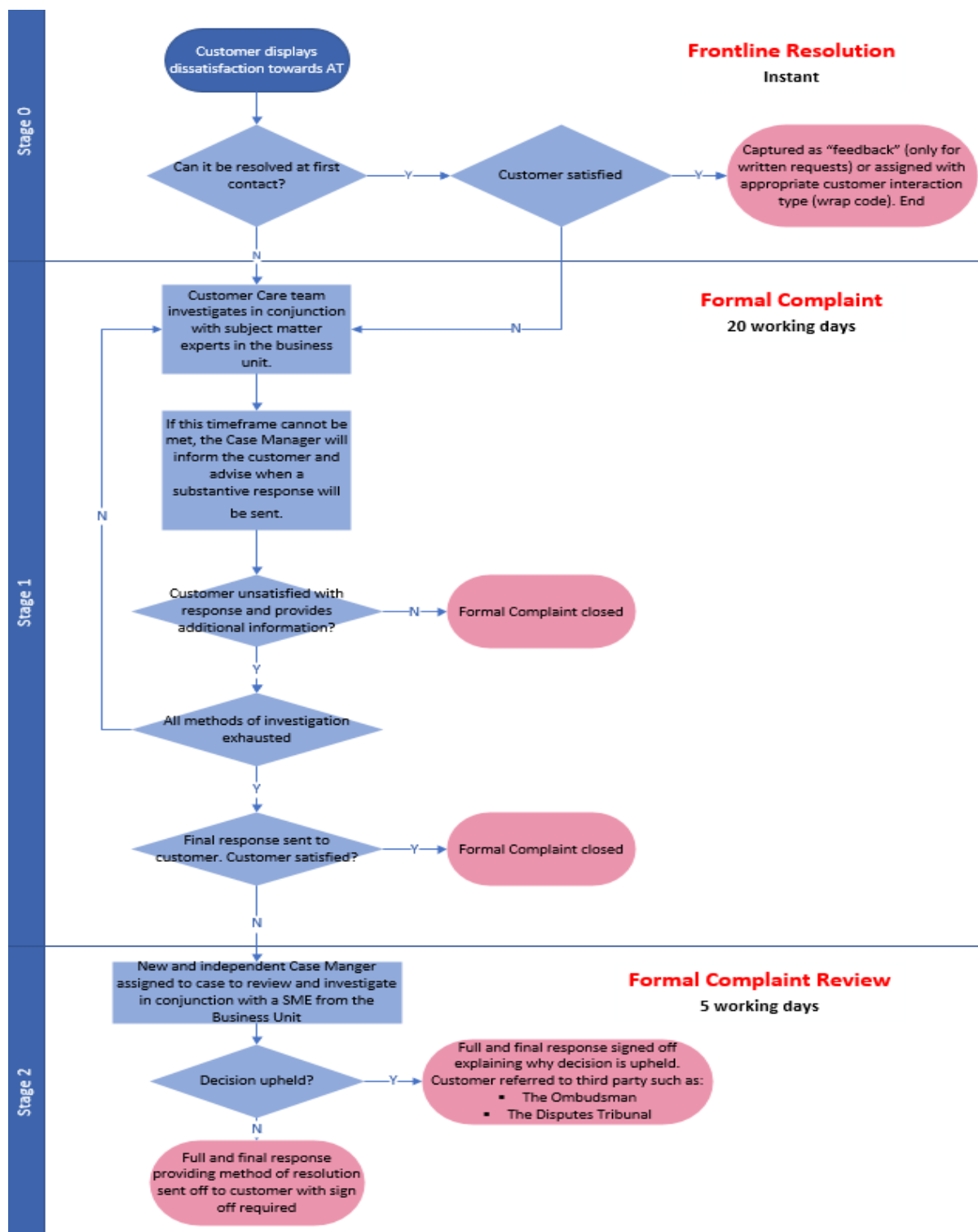
Transparency: The complaints handling process will be openly and clearly communicated to customers, personnel, and other relevant interested parties. Complainants will be provided with adequate information about the handling of their complaint.



6. Our complaint management model

Auckland Transport and its partners will follow a formal process for managing every complaint.

A complaint may have three possible stages. At all stages, Auckland Transport will try to resolve the matter as early as possible.





7. Roles & responsibilities

Role	Responsibility
All AT employees and AT representatives	Understand and comply with AT's formal Complaint Management Policy and process
Executive General Manager, Customer Experience	Ownership of this policy Updates to AT Executive Governance on performance of Service Level Agreements and any escalations to the Ombudsman etc. Updates Council through formal Statement of Intent measures
Executive Leadership Team	Ensuring complaints related to their area of the business are managed in line with the complaint policy and procedures Provide visible and enthusiastic commitment to guide and support staff Cultivate a culture of valuing complaints and promoting high standards of service
Customer Services Team	Overall responsibility for the operational management of complaints in line with policy and procedure Monitoring / reporting on Service Level Agreement achievements to the organisation and executive team Circulate performance and compliance reports on complaint activity (this may be delegated) Monitor and regularly review Ombudsman complaints (this may be delegated) Manage escalated complaints and complaints of a sensitive nature through to resolution Manage complaints from end-to-end by assessing, investigating, researching, monitoring, and working with the business unit to agree resolution in line with policy and procedure Provide advice, guidance and constructive challenge at all levels across AT in all aspects of complaint management and resolution
All People Managers	Ensure staff respond to complaints quickly, efficiently and fully in line with AT's formal Complaint Management policy and process Ensure staff are empowered to find appropriate outcomes for customers within their authority Signing off full and final responses before responses are sent to customers (joint responsibility between the Customer Services and Business Unit Teams)
Business unit subject matter expert	Work with the Customer Care team to investigate and resolve complaints and provide information, as required, within allocated time to meet customer expectations
Service providers	Support AT and the Customer Care team to investigate and resolve complaints



8. Non-compliance

Failure to assist the Customer Care Team with complaints or comply with this policy may result in further action, as outlined in [AT's Code of Conduct Policy](#).

9. Supporting Information

Related policies	<ul style="list-style-type: none"> • Unreasonable Complainant Conduct Policy • Customer Privacy Policy
Supporting documents <i>These are Procedures, Standards and Guidelines that directly support this Policy</i>	<ul style="list-style-type: none"> • Complaints Management Procedure (<i>This procedure directly supports this policy</i>) • Unreasonable Complainant Conduct Procedure • Threats and Aggression

10. Approval and Review

Policy Owner:

Executive General Manager, Customer Experience

Approved by:

Chief Executive

Approval date: December 2021

Policy Contact:

Group Manager, Customer Services

Next review date: January 2023

AT reserves the right to review, amend or add to this policy at any time upon reasonable notice to employees and representatives.

Complaint Management Procedures



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Introduction

These procedures detail how complaints should be managed at Auckland Transport in-order to comply with our Complaint Management Policy and Process.

This document is designed for internal use and contains references and active links to additional information, indicated by underlined text. Information contained in this document concerns complaints made by customers of Auckland Transport. If you are an employee of Auckland Transport wishing to make a complaint about an incident or situation at work, you should contact your manager or Human Resources.

Auckland Transport is committed to using what we learn from complaints to identify and drive improvements to service delivery and the development of new products and services. Regular reporting on the volume and type of complaints received, timeframes for response, root cause and outcomes is available. Analysis of recurring themes and trends will drive continuous improvement.

Training and ongoing professional development

To ensure that complaints continue to be managed effectively, we recognise the importance of training and development for staff and managers. Resources available include:

- Guidance material and eLearning available on the Customers First page on the Engine Room under Customer Feedback
- Customer services training as part of induction for new frontline staff
- Classroom based training
- Systems training for users of AT's Customer Relationship Management system (CRM)
- On-going coaching, development, and competency assessment as part of your Performance and Development Plan (PDP).

What is a complaint?

Formal Complaint

An explicit expression of dissatisfaction about an Auckland Transport management of a case, or outcome, whether justified or not and where a resolution or formal investigation is expected or implied.

The following are not classified as formal complaints:

- An initial request for works or service or provision of a new service
- General feedback made to Auckland Transport
- Issues resolved at first contact by frontline staff
- Feedback as part of a formal consultation process
- A request for information relating to AT policy or procedures
- A request for compensation
- A suggestion about our services, policy or procedures
- A request to waive an infringement notice
- A request made under the Privacy Act 2020 or Local Government Official Information and Meetings Act 1987
- A request or complaint that is managed separately under AT's unreasonable conduct process/policy.
- Feedback and comments of a negative nature that do not warrant a formal investigation and/or response, as they can be resolved immediately by following the 'Frontline Resolution' process
- Interactions or requests to or about AT not deemed to be a formal complaint as listed under "what isn't a complaint"
- Anyone wishing to raise concerns through the investigations team in Risk and Assurance, or via AT's confidential whistleblower service.

Dealing with unreasonable complaints or conduct

Auckland Transport considers behaviour unreasonable if it substantially impacts:

- The health, safety and wellbeing of our staff
- Our ability to do our work and perform our functions in the most effective and efficient ways possible
- Our ability to allocate resources fairly across all complaints we receive
- AT has a separate policy and procedure for managing unreasonable complainant conduct.

Anonymous complaints

Auckland Transport will investigate anonymous complaints, provided we have received enough information and it is practical for us to do so.

If insufficient information is provided about the complaint and/or parties involved and we are unable to contact the customer to seek clarification or request additional information, this may prevent or hinder a thorough investigation. This is especially relevant for complaints involving staff and service providers doing work on our behalf e.g. public transport operators.

Wherever possible AT will gather relevant information from customers when the complaint is logged. Likewise, AT's systems will be designed to extract the right level of detail to ensure the investigation and timeframes are not compromised.



Where do customers find information about making a complaint?

We provide information to our customers on the [Contact Us](#) pages of our website. Customers can also find out information about making a complaint by visiting our Auckland Transport Customer Service Centres located throughout Auckland, or calling our Contact Centre.

Who can make a complaint?

Anyone who directly uses or is affected or impacted by our services can make a complaint. Not all of our customers pay rates and not all of our customers are Aucklanders.

If a third party is acting on behalf of a complainant and has made this known to AT, consent is required before AT can release personally identifiable information to that third party. AT will also require the complainant to verify their identity if the information to be released contains personally identifiable information.

Benefits

Formal complaint management is especially relevant to Auckland Transport as a service-oriented organisation. We are committed to learning from formal complaints and using information derived from complaint handling and resolution to improve service delivery.

Customers

- An open, accessible and effective complaint management framework that ensures fairness and impartiality.
- Customers build trust and confidence in the brand, as their complaints are resolved in a timely and empathetic way.
- Customer issues are resolved with a reduced likelihood of complaints developing into ongoing disputes.

Operational

- Increased operational efficiency by reducing re-work and double handling by managing complaints in a consistent, systematic, and responsive manner.

Organisational

- Improved staff engagement, as frontline staff are equipped, trained, and empowered to resolve customer complaints.
- Dedicated complaints handling team within the Customer Care Case Management Team oversees formal complaints, delivering better customer outcomes.
- Ability to identify trends, eliminate causes of complaints and deliver quality improvements.

Our complaint management model

Auckland Transport and our service delivery partners follow a formal process for managing every complaint that allows for the escalation of those of a more serious nature or that remain unresolved.

Customer expresses dissatisfaction with and aspect of AT's services which is immediately resolved by frontline staff.

If immediate resolution not possible, a formal complaint is raised, a case created, investigated, and responded to.



Day to Day



Formal Complaints



Stage 0 On the spot

A complaint can be made to any member of Auckland Transport or service provider staff. These complaints are expressions of dissatisfaction made directly to staff that can be resolved immediately (or very promptly) without recourse to a formal resolution process, e.g. by providing information, or making an apology.

Frontline resolution aims to quickly respond to straightforward customer complaints that require little or no investigation. Any member of staff may deal with complaints at this stage, not just those whose roles are predominantly customer facing.

If you cannot respond to or resolve a complaint immediately then you should do ONE of the following:

- Gather as much information from the customer and raise a 'Let Us Know' (feedback) case, or,
- Direct the customer to the ['Contact Us'](#) online feedback form on the AT website.

Every complaint is then logged in our database and routed to the appropriate team for investigation and response. Complaints not resolved to the customer's satisfaction can be escalated to the Customer Care Case Management team based in Customer Services.

Stage 1 20 working days

Formal complaints are managed by the Customer Care Case Management team following a consistent process involving investigation, action to resolve and feedback to the customer. A full response should be made within 20 working days to reflect our Statement of Intent with Auckland Council. If this timeframe cannot be met the customer should be provided with an interim response and a revised date for a full response.

After assigning the complaint to the Business unit, the business unit are responsible in assigning the case to the appropriate Subject Matter Expert (SME) to investigate in accordance with our service level agreements. They will proactively monitor progress to ensure timeframes are met. SMEs are then responsible in providing a draft response for the Customer Care Case Management Team to assemble and send.

Case Managers will actively monitor customer responses and seek and exhaust all methods of investigating before providing the customer with a final response. Should the customer remain dissatisfied, complaint cases will be kept open for 5 working days to allow customers the opportunity to reply to the final response and provide any additional information to support their complaint.

The Case Manager assigned to the case will seek to reinvestigate and respond to the customer within 5 working days. This process will allow the case to be kept open until a desirable outcome is provided for the customer, or until all methods of investigation are exhausted. Peer reviews with other Case Managers or Seniors will be conducted throughout the Stage 1 process to ensure that the outcome provided to the customer is of standard, and the use of an investigation form will support the Case Manager while tracking and investigating the case in-order to provide transparency if the case is ever to be revisited later on.

If a customer is not satisfied with the final response to complaint, the Review Panel will investigate the case handling and investigation process that took place.



Final Review Process

Stage 2 5 working days

The Senior Case Business Partner will work in conjunction with the Business unit to review the case history and seek to understand if the outcome provided at the stage 1 should be upheld and a full and final response drafted.

If the outcome is upheld, the full and final response will require sign off from Tier 3 Managers, Manager Customer Care and Customer Care Engagement Manager before the response is to be sent advising the customer to raise their complaint to an external party such as the Ombudsman for further assistance.

If the outcome is not upheld, and a solution can be provided by the Business Unit, then a full and final response is drafted and requires signing off from Tier 3 Managers, Manager Customer Care and Customer Care Engagement Manager before the Senior Case Business Partner responds to the customer

The Customer Care Case Management Team will:

- Work with the business unit to review the outcome and handling of a formal complaint
- Liaise directly with the customer, involving the SME where required
- Provide support and guidance to business units in:
 - Assessing complaints
 - Investigating complaints
 - Recommending suitable remedies
 - Dealing with incorrect referrals
 - Reporting
 - Monitoring of service level agreements.

External Referral

Finally, should the customer remain dissatisfied following receipt of the full and final response at Stage 2, they can refer their complaint to the Office of the Ombudsman for an external review of the case. The Ombudsman will not normally look at complaints unless the following conditions are met:

- The customer has gone all the way through our complaint management procedures .e. Stage 1 and 2
- Raised the complaint less than 12 months after the incident the customer is complaining about
- Have not been previously or are not currently the subject of legal proceedings.

Ownership of complaints

Our complaint management policy, process and procedures recognise that ownership and accountability for complaints lie with the Customer Care Case Management team, who specialise in handling complaints.

However, the responsibility of investigating and providing information for Customer Care Business Partners in-order to respond to our customers lie with the business units whom our Customer Care Business Partners will be working with.

At an operational level, business units are best suited in handling day to day customer feedback interactions. This is in acknowledgement of the fact that the business unit are generally best equipped to only respond to and resolve interactions that require feedback.

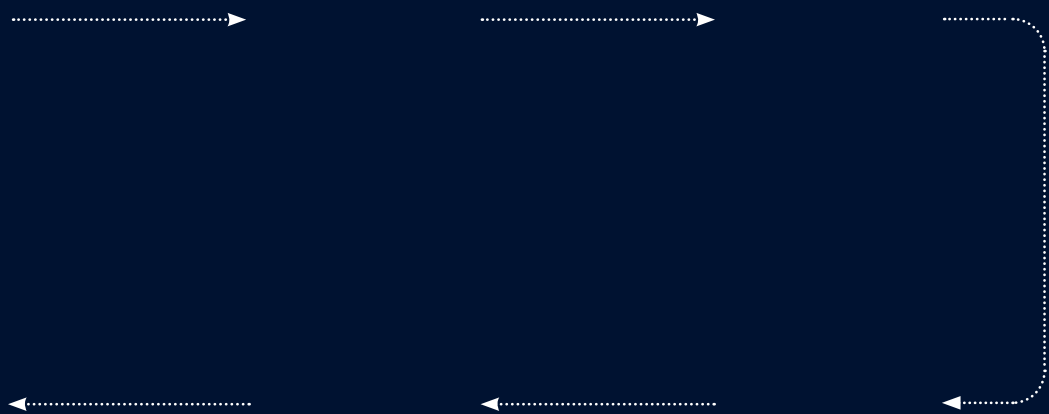
Roles and responsibilities

Everyone who works for Auckland Transport has a responsibility to:

- Comply with AT's Complaint Management Policy and these procedures.
- Adopt a 'right first time' approach in everything we do, taking ownership to resolve complaints quickly and efficiently.
- Increase customer satisfaction and try to put ourselves in the shoes of our customers.
- Uphold AT's reputation.
- Maintain the integrity of data in our systems and follow good record keeping practices (e.g. RAMM or CRM).
- Protect the privacy of our customers and maintain confidentiality.

Complaint Management Process

We follow a simple and consistent process whenever we manager a customer complaint.



Raise a complaint

Complaints can be received from customers in the following ways:

- By completion of an online form on the AT website
- By making a complaint in person at a service centre
- Via social media, e.g. Twitter
- By calling us
- Writing to us via letter or email
- Webchat

Verbal Complaints

In many cases a verbal complaint made to a member of staff will be dealt with immediately. If a complaint cannot be resolved at first point of contact, then service or contact centre staff will log the complaint directly into CRM. Field based staff including PT Operators will direct customers to one of Auckland Transport's contact channels.

Anonymous complaints

Auckland Transport values all complaints. This means that we will treat all complaints seriously, including anonymous complaints. We will take action to consider them and, if possible, resolve the root cause to prevent a reoccurrence of the issue. An anonymous complaint is defined as any complaint raised where there is insufficient contact information available to provide a written or verbal response to the customer or where the customer expressly requests anonymity. We can still log the feedback as a complaint, but we might not be able to fully investigate.

Written Feedback

Complaints submitted using the online webform are automatically received in CRM and assigned to the responsible business unit to investigate. Emails are presently handled manually by the AT General Written Team.

Complaints arriving through Auckland Council are submitted through an online webform and is also processed by our AT General Written Team.

Acknowledgement

Complaints received by the Contact Centre will be acknowledged at the time of the call and a case reference number provided to the customer.

Online complaints will receive immediate onscreen confirmation of their case number and expected timeframes. Written complaints received by post will be acknowledged within 1 working day.

Complaints received in person:

- At a service centre will be acknowledged in person and a case reference number provided to the customer
- By an operator or contractor will be directed to one of Auckland Transport's contact channels, and then receive an acknowledgement as per their contact method.

Assess a complaint

Each complaint should be assessed using the following criteria:

- Is it a complaint?
- Is the complaint within the scope of the Auckland Transport Complaint Procedure?
- Is this a complaint that has already been responded to
- Is there a requirement for a service request to be logged?
- Is the complaint a 'high priority'?
- Which business unit does the complaint relate to?

All these factors help determine the relevant area and appropriate person to manage the complaint and the level of investigation required. If a complaint cannot be resolved at first point of contact our complaint management model provides us and our customers with two opportunities to resolve complaints internally.



Stage 1

Formal Complaint

A complaint will be classified as a stage 1 complaint when there is:

- A specific expression of dissatisfaction with the quality of service provided by staff or anyone representing Auckland Transport
- A delay in responding to a customer request e.g. a request for service, request for information, request for reimbursement, waiver etc.
- A request for service has not been completed to the expected standard (e.g. contractor not fixed maintenance issue as promised)
- A complaint received from a VIP is not classed as a formal complaint unless Auckland Transport has previously received or responded to the same matter.
- If a complaint that has been responded to or resolved by Auckland Transport does not satisfy the Elected Member, then a new case raised will be deemed as a 'Stage 2' complaint

i Complaints addressed to or received by a VIP are managed by the Customer Care Case Management Team who liaises with the business units.

Stage 2

Formal Review Process

A complaint will be classified as a stage 2 complaint when there is:

- A customer has expressed dissatisfaction with an initial response or the way we have actioned an initial complaint at Stage 1. For example:
 - We have not done what we said we would do
 - We have done something, but not to the desired standard
- A stage 1 complaint that has been raised by a constituent and responded to by Auckland Transport and is now being represented by the VIP.

Assessing a complaint

In order for us to extract meaningful insight from complaints, it is important we categorise them appropriately. This will allow us to report on the complaint type, agreed timelines, and identify trends.

If a case is to be raised for a formal review, the Case Manager handling the case will create a new CRM case with the same 'Product' and 'Outcome' value. A set of 3 specifics have been created to pinpoint root causes of why these cases are reaching stage 2 and what the triggers are:

Service Experience

- Attitude and/or conduct by anyone working for or representing Auckland Transport

Policy

- Does not agree with policy/guidelines/standards
- Correct process not followed policy/process failure

Decision/ Action

- Unwelcome decision or outcome
- Unhappy with standard of works, or action taken

Complaints must be categorized in accordance to our CRM case dimensions used organisation wide.

i A list of case dimensions is available on our [Knowledge Base](#)

PRODUCT

What is the feedback or enquiry is about?

OUTCOME

What does the customer want?

SPECIFICS

Filtered down view on customer's request

Exceptions

Certain types of complaints fall outside this Auckland Transport complaint management procedure because there are alternative procedures in place which are more suitable for dealing with them. The following table outlines these complaint types and provides guidance on how they should be referred or actioned:

Complaint type	Example	Referral/Action
Privacy	Allegations of a breach of privacy	Refer to Auckland Transport Privacy Officer: PrivacyOfficer@aucklandtransport.govt.nz
Alternative statutory appeal or tribunal processes	Appeals against statutory notices or compensation claim	Refer to Ministry of Justice website
Official information request	Request of information under the Local Government Official Information and Meetings Act (LGOIMA)	Refer to procedure for AT Official Information Requests on i-Know
Auckland Council complaints	Stormwater, rates, rubbish and recycling	Refer to Auckland Council using complaints_team@aucklandcouncil.govt.nz
Ombudsman complaint	Auckland Transport complaint procedure has been exhausted	Advise customer to contact the Office of the Ombudsman website
Complaints from staff about HR issues	Serious misconduct, dismissal, harassment, recruitment and discipline	Refer to AT Organisation Wide Policies and Forms on the Engine Room
Workplace safety and wellbeing	Dangerous work practices	Refer to AT Health, Safety and Environment - Physical Works page on the Engine Room or to Department of Labour
Commercial or contractual matters	Supply of goods and services, awarding or negotiation of contracts	Refer to AT Procurement Policy and Procedures

Claims for compensation

A customer may seek compensation from us if they consider Auckland Transport to be liable. Examples include issues such as personal injury, loss of or damage to property. Claims for compensation only are NOT classified as complaints so should not be managed using this procedure. Instead you should follow the compensation procedure to be found on the [Engine Room](#).

You should be clear, however, that where a customer wants to complain about an issue that has led to their request for compensation e.g. the condition of a public road causing damage to a motor vehicle, you may consider that issue as a complaint but deal with the request for compensation separately. We may decide to suspend complaint action pending the outcome of the claim for compensation. If this is the case, the customer should be notified to explain that their complaint will be fully considered when the compensation claim has been resolved.

Does a Request for Service need to be logged?

To determine if a request for service should be logged at the same time as a complaint, refer to the Knowledge Base and check for any associated cases in the relevant system. An example of when a request for service should be logged is where an area or asset needs to be made safe, or repair/maintenance is required.

Prioritise and Allocate

Priority

Whilst all complaints are important, each individual complaint received should be assessed as either having a priority rating, depending upon the level of risk.

- Formal complaints: automatically have a ‘P2’ priority level
- P3 to 5: medium to high level of risk/ or detriment to the complainant. These complaints might involve extensive investigation or require immediate attention of executive management.
 - P3: Potential harm
 - P4: Injury
 - P5: Death

Below are examples of what could be considered higher priority complaints:

Higher priority complaints	
Trigger	Example
Prospect of significant risk to reputation	Adverse or negative coverage in traditional or social media
Possibility of high public interest	Public and/or community interest over changes to policy, process, legislation, product and/or charges
SLA breach	A request for service has not been completed by the due date
If any delay would add significantly to the distress and/or inconvenience suffered by a customer	Where distress or inconvenience is caused by any of the following: a failure of service, product, conduct of an operator, total mobility or disability issues, accident involving vehicle and/or person or intentional harm, physical assault, or verbal abuse
Customer financial hardship	Due to the failure of product e.g. AT HOP card or ticket machine causing commuter to make payment (again) to use service
Health and Safety	Where there is or possibility of physical injury or damage to property.

High priority complaints do not change the timeframe to send a final response. What it does mean is that the customer should be contacted within 1 working day to let them know their high priority complaint has been received and is being managed as indicated in the table (right). Once a complaint is received and assessed it can be downgraded if appropriate.

Routine	High	
Overall service level	Acknowledgment	Overall Service level
Stage 1 – Formal Complaint		
20 working days	1 - 2 working day	20 working days
Stage 2 – Final Review Process		
5 working days	1 working day	5 working days

Allocating a complaint

The Contact Centre are responsible for allocating complaints to the relevant business unit and/or Public Transport Operator.

Referring complaints to our service providers

Whenever a complaint is referred to a third-party customer consent is not required so long as the information is used directly for the purpose of the complaint and disclosure of information is not excessive.

When a complaint is referred to a PT Operator the customer is advised at first point of contact that their details will be forwarded to the operator. PT Operators are responsible for service quality issues, staff issues and vehicle issues that are related to their services.

The privacy statement on the Auckland Transport website includes a provision stating that information supplied by our customers might be shared with our public transport operators for the purpose of investigating complaints relating to their operational performance.

Customers have the right to object to any referral of their information to a third party (e.g. remain anonymous); however, this might delay or prevent a thorough investigation.

Incorrect Referrals

If a complaint has been assigned to the business unit and the business unit is not responsible, it should be assigned immediately back to the Customer Care Case Management Team with the correct progress values.

The business unit is responsible for notifying the AT General Written Team within 1 working day of an incorrect referral and is responsible for the complaint until it is assigned. The AT General Written Team is responsible for re-allocating the case within 1 working day with the correct progress value selected (Assign to SME), which may involve a new case being logged.

Complaints involving more than one service or organisation

Usually, complaint involving more than one department or organisation will be managed in a coordinated manner. The Customer Care Case Management Team will manage the parent case and assign sub-cases to business units ensuring one combined response is sent to the customer.

If a complaint does not relate to Auckland Transport, we will refer their case onto the appropriate organisations where possible otherwise we will advise the customer to contact the appropriate agency or organisation.

Investigate a complaint

Complaint Investigation Form

The purpose of complaint investigation form is to make sure that we conduct thorough and robust investigation of the complaint. It will help us to make sure that we have covered every possible way to investigate the complaint and aiming to provide best possible solution to customers. Good investigation helps to enhance customer experience and satisfaction. It helps us to establish an open and transparent process of complaint handling. This will also provide an opportunity for the further training and development to fill the process/training gaps.

This form is a document that is referred to when assessing and deciding whether all forms of investigating is exhausted. This document will also play a key role in the formal review process when the panel assesses the handling of the case and whether the delivery or quality of the outcome is satisfactory.

This form focuses on three aspects:

- **Preliminary investigation**
- **Procedural Reminders**
- **Outcome & Response**

Preliminary investigation

- Nature of complaint
- Summary of issue/s and what resolution is the customer seeking?
- Are there any extenuating circumstances/ major issues/red flags?
- Review case history, and summarise previous decisions/responses
- Do you need further information from customer?
- Has the customer provided new information that BU needs to know?
- Is the complaint related to H&S?

Procedural Reminders

- Have you contacted the customer after initial review to provide an update?
- If a third party is acting on behalf of complainant, have you sought consent?
- If SME/BU investigation need more time, have you informed the customer about the delay?
- If no response from SME/BU, have you used escalation form in MS Teams?

Outcome and Response

- What is the final decision?
- Has the SME/BUs provided a satisfactory explanation to support their decision?
- What actions did they/you take to reach the final decision?
- Have we addressed all aspects of the customer's complaint?
- Any additional clarification/ explanation you require from the BU so that a comprehensive response can be provided to the customer?
- Have we provided adequate and transparent information regarding the handling of the complaint?
- Are there any training / process improvement opportunities for a better customer experience?
- As a Case Manager (independent reviewer), are you confident that we have done everything possible to address this formal complaint?
- If a remedy was offered, what was this?

Useful tips to investigate a complaint

Identify key issues

Before starting an investigation first study the complaint to understand any underlying issues, consider the facts that may have caused the complaint and understand and confirm the customer's expectations.

Solution Options

If it is found that the service provided has been unsatisfactory, we should always endeavour to put things right for the customer. Wherever possible, and as a guide, we should restore the customer to their original position.

Plan the investigation

All complaints should be handled in an objective, fair and considered manner and should include the following steps:

- Ensure there is no conflict of interest
- Research, gather evidence, and establish facts
- Evaluate whether this can be handled immediately (i.e. explaining mask wearing on PT) make a final determination

Possible solutions could include:

- An apology
- Reconsideration of a decision
- Explanation of why the problem occurred and action that is being taken to prevent it reoccurring
- An offer of non-financial assistance where appropriate
- Refund, reimbursement, or vouchers
- Repair or reinstatement
- Internal review of policy and practice

Respond to a complaint

The customer should be kept up to date throughout the process and their expectations regarding how long the investigation is likely to take should be actively managed. Once the investigation has been completed, a final response should be sent to the customer.

The customer will have expressed a preference for a specific contact method, e.g. phone call, letter, email. No matter the type of response that is carried out while responding to the customer, the Case Manager should be actively providing detailed case notes in-order to provide the clearest audit trail in the event of the case being further escalated by the customer.

If a complaint is upheld, the final response should include what corrective action will be taken and when it will be completed. Details of any recompense should also be included. If this includes the offer of compensation, then the final response needs to be coordinated with the outcome of the compensation claim procedure. The final response should record the reason for the decision along with any supporting material e.g. relevant policy(s), local laws, or findings.

After the final response is sent, the customer has the option of upholding the outcome provided or providing more information in-order for the Customer Care Case Management Team to revisit and further investigate the complaint. The Customer Care Case Management Team will aim to investigate and send out a response to the customer within 20 working days. However, if the customer does choose to provide more information to further investigate the complaint, the Case Manager managing the complaint will have 5 additional days to further investigate and respond to the customer.

Extending timeframe

Our aim is to address all complaints within the timeframes set out above. If this target cannot be met due to extenuating circumstances e.g. awaiting further information from an involved party, the customer should be informed of the reason for the delay and provided with a revised target date for a response. Even if the delay is caused by a backlog you should always manage the customer's expectations with regards to when they can expect a response.

Written responses

Responses should be easy to understand, use jargon-free language and adequately address all points the customer has raised. For further guidance on how we should write you can refer to the Auckland Transport Written Communications Guide.

Below is a handy checklist:

Does the letter contain?		<input checked="" type="checkbox"/>
A reference to the complaint (including the case number)?		
A solution/response to the complaint?		
A record of actions taken and who by?		
A reference to any previous correspondence or attachments?		
A reference to any further steps open to the customer?		
Grammar and spelling check		<input checked="" type="checkbox"/>
Is your response consistent with the AT Written Communications Guide?		
Have you used short sentences and short paragraphs?		
Is your response clearly formatted and easy to read?		
Is your response concise – with no unnecessary detail?		
Have you used active language?		
Have you limited the use of abbreviations and acronyms?		
Have you avoided using jargon?		

Close a complaint

The customer should be told of the outcome of the investigation in writing or by their preferred method of contact.

The Customer Care Case Management Team will attempt to provide the customer with the outcome of the investigation. If the customer is unsatisfied with the outcome provided, the Customer Care Case Management Team will re-investigate until all means of resources are exhausted before sending out a final response.

After the final response is sent out to the customer and the customer remains unsatisfied, a new case will be created and a new Case Business Partner assigned to review how the case was handled and quality of information provided to the customer. After a decision is made, a full and final response will be sent out to the customer on whether the decision provided in stage 1 was upheld or not.

Should the customer remain unsatisfied after receiving a full and final response provided by Case Business Partner, the customer will be advised of their right to ask the Ombudsman to consider their complaint.



Aligned with the ISO10002 (expand on ISO)

The Customer Care Case Management Team are determined to provide the customer with the best possible service during the investigation and communication stages whilst the customer's case remains open.

Therefore, if the customer is unsatisfied with the proposed decision or action, then the case should remain open. This allows the customer to have the opportunity to provide more details to support the complaint. This means that the case remains open until all reasonable internal options of recourse are exhausted or the complainant is satisfied.

Closing a case

When a response is provided to a customer, the Case Business Partner will change the progress value to 'Customer Info Requested'. This allows the customer to respond back within 5 working days.

If the customer decides to accept the response or does not respond within 5 working days, the case will be close.

If the customer is unsatisfied with the outcome provided, they have the option to state why they reject the response and be able to provide more additional information to back up the complaint. If the customer fails to provide any constructive information that may support the complaint, then the Case Business Partner will close the case.

When the customer is unsatisfied with the outcome provided and provides additional information, the Case Business Partner will have an additional 5 working days to re-investigate with a SME to provide the customer with a response.

Recording on CRM

The investigation form is form that has been adopted by the Customer Care Case Management Team to capture crucial information regarding the case. This form is filled out in real time and is uploaded into the 'documents' folder in the case on CRM when the final response is sent.

So that we can learn from complaints we need capture information about why it happened and what we did to resolve the complaint. Complete case notes and information recorded on the investigation form are essential to ensure complaints are properly assessed, investigated, and resolved. What is recorded regarding the complaint should cover all relevant information from when a complaint is received to when it is resolved. The form also allows the review panel to pick up and understand what has been provided to the customer, and the handling of the case to efficiently construct a full and final response.

The following information is required when recording a complaint:

- Updates on customer contact information including name, preferred contact method, email, telephone and address, unless the customer wishes to remain anonymous
- Any 3rd parties involved
- Details of complaint and reason for contact
- Desired outcome expressed by the customer
- A record of when and how the customer is contacted (has been contacted/ leaving case notes)
- Priority of the complaint
- Outcome of the complaint (see below)
- Any remedy provided to the customer

Supporting information



Privacy of personal information

Auckland Transport is committed to protecting the personal information of our customers. We have a Privacy Policy to help our customers understand how we collect, use, and protect their personal information when they visit our websites, contact us or use our products and services.

Confidentiality is important in complaint management. Auckland Transport maintains the confidentiality of all customer information. Legal requirements should always be taken into consideration when dealing with a complaint e.g. data protection legislation as well as internal policies covering confidentiality and the use of customers' information.

We will maintain the confidentiality of all personal information. We will not disclose it outside the organisation or third party without prior permission of the customer unless we are legally obliged to do so. If a third party is acting on behalf of a complainant and has made this known to AT, consent is required before AT can release personally identifiable information to that third party. AT will also require the complainant to verify their identity if the information to be released contains personally identifiable information.

All requests relating to the disclosure of personal information should be referred to the AT Privacy Officer at privacyofficer@aucklandtransport.govt.nz

Record Management


Anyone working at or representing Auckland Transport is responsible for good record keeping in accordance with the [Public Records Act](#). A record is any information that documents or supports the administrative, fiscal, legal, and business transactions and functions of Auckland Transport.

Auckland Transport has an information management team who oversee data protection and record management. A number of policies and guidelines have been approved including Record Management Policy, Retention & Disposal Policy and Public Access to Records Guidelines, amongst others. These can be found on the Information Management site of the Engine Room.

Discretion and unreasonable conduct

Auckland Transport may choose to use discretion when receiving a complaint by refusing to investigate it. Examples of when this may occur include:

- Where the complaint is considered trivial or vexatious
- Where the complaint is being made using rude or abusive language
- Where the customer is physically harassing an Auckland Transport employee (all types of harassment)
- Where the complaint is made more than 12 months after the date on which the incident occurred
- Where the complaint is made anonymously and there is insufficient information to act.

 Refer to the Unreasonable Complainant Conduct Policy for further information.

Putting an excellent customer experience at the heart of everything we do

Our [Vision and Values](#) help us to focus on continuing to do the right things to satisfy our customers and identify and act upon the things that we need to change to put the customer first. When we share a common vision, adopt the same values, and deliver on our promises, our customers become our strongest advocates.



Auahatanga Better, bolder, together

- We dream big and have a sense of pride in all that we do, including everyone on our journey.
- We continuously strive for excellence to make a positive difference to the communities we serve.
 - We trust our people, back each other, celebrate successes and learn from our experiences.
- We take personal responsibility for everything we do, challenge the norm and encourage creativity to be better.

Tiakitanga Safe with us

- We are free to be who we are and diversity is our strength.
 - We ensure people's safety when they use our network and services.
- We strive to protect people from harm and create a thriving and safe workplace.
 - We create a healthy and sustainable environment for people to enjoy.

Whanaungatanga We connect

- We genuinely listen and engage with our communities, partners and each other.
- We invite open conversation and feedback seeking understanding to move forward together.
 - We collaborate and freely share our knowledge to help others learn and grow.
 - We are one team regardless of what we do or where we sit.

Manaakitanga We care...Full stop

- We care for each other, our communities and partners.
 - We do what we say we will do, and we always have good intent.
- We build reciprocal relationships through shared experiences and belonging to a wider community.
 - We stand up to be counted while respecting other's views.

Glossary

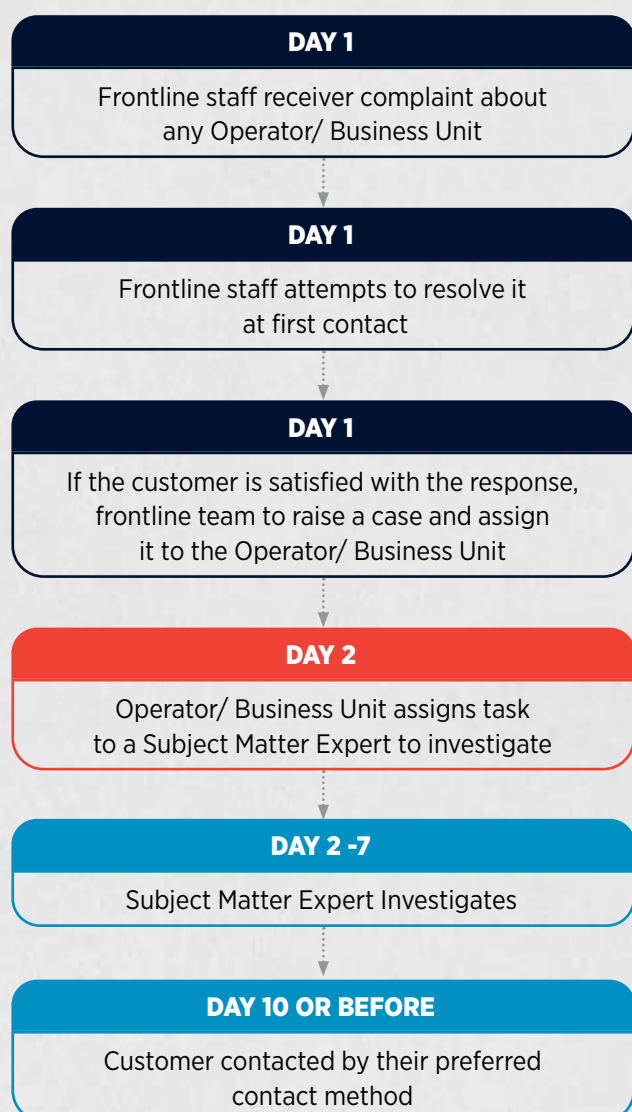
Anonymous complaint	The identity of the customer is unknown, or they have requested anonymity
Customer Care Case Management Team	Business unit in Customer Services team that manages customer cases
Customer Care Business Partner	Complaints handling team within the Customer Care Case Management Team
Compliment	An expression of approval of an Auckland Transport service, program, product, or process
Contractor	A person or firm that undertakes a contract to provide materials or labour to perform a service or do a job
CRM	Customer Relationship Management (and the name used for the system tool used in Auckland Transport) for managing customer requests
Frontline Team	Customer Service Centre and Contact Centre
Engine Room	Auckland Transport's intranet
Feedback (includes suggestions, RFI, compliments)	An opinion, comment or expression of interest in an Auckland Transport plan of service, programs, products or processes
i-Know	Auckland Council knowledge base where we publish information for agents employed in the council's call centres and service centres who deal with transport related enquiries
Knowledge Base	An intranet-based repository of guidance information used by Auckland Transport staff
Ombudsman	The Office of the Ombudsman is an independent authority that helps the community in its dealings with government agencies in New Zealand. They handle complaints against government agencies undertake investigations and look at issues such as service failures and systemic issues or administrative faults
Personal contact	When the customer is contacted personally by member of staff
PT Operator	Public Transport Operators provide bus, train and ferry services on behalf of Auckland Transport and manage quality, staff and vehicle issues that are related to their services
RFS	Request for Service: A customer requests Auckland Transport to fix or repair an AT asset e.g. faulty ticket machine, pothole, streetlight fault etc.
Subject Matter Expert (SME)	A person who is an expert in a particular area or topic.
Suggestion	An idea submitted to Auckland Transport by a customer with the aim of improving our services, programs, products or services.

Specific nominated roles and responsibilities

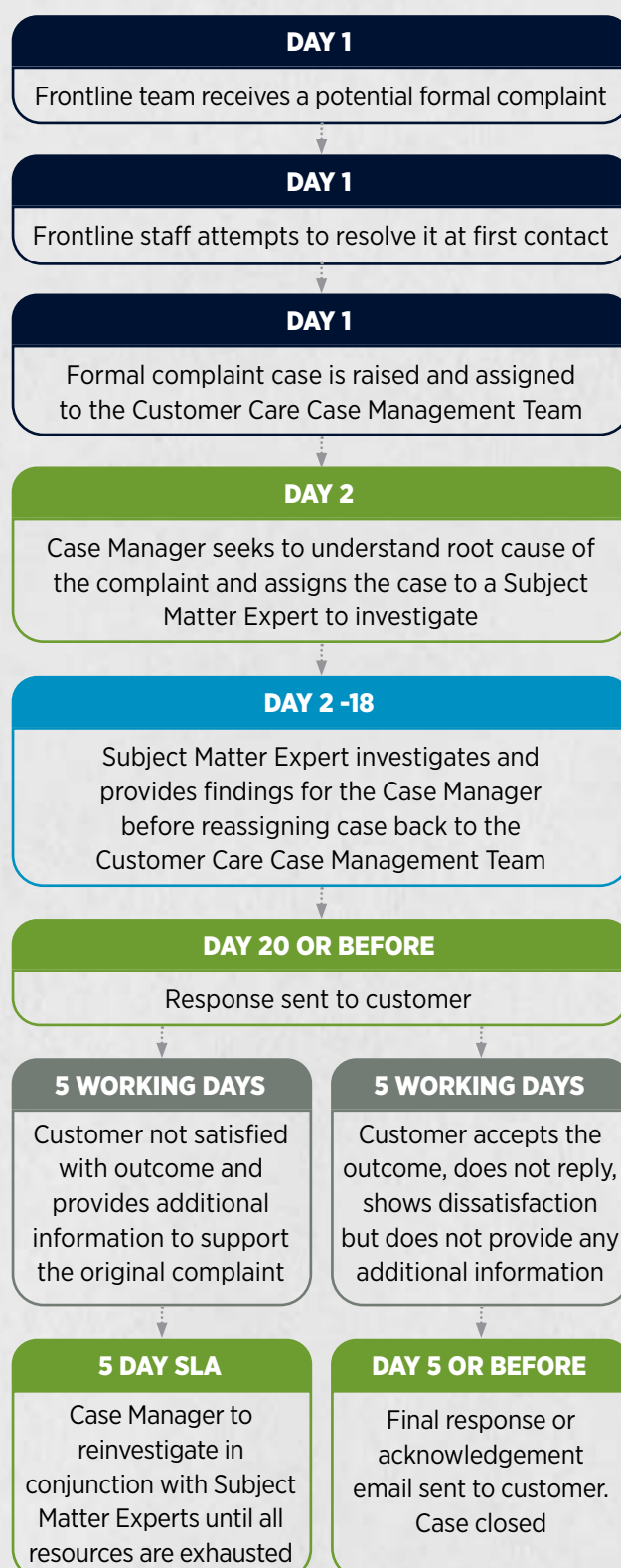
Role	Responsibility
AT Board /Directors	<ul style="list-style-type: none"> Provide responsible governance for the management of complaints
Executive General Manager, Customer Experience	<ul style="list-style-type: none"> Ownership of this policy Updates to AT Executive Governance on performance of SLAs and any escalations to the Ombudsman etc. Updates Council through formal SOI measures
Executive Leadership Team	<ul style="list-style-type: none"> Accountable for ensuring complaints related to their area of the business are managed in line with the complaint management process and procedures Provide visible and enthusiastic commitment to guide and support staff Cultivate a culture of valuing complaints and promoting high standards of service
Tier 3 Managers	<ul style="list-style-type: none"> Ensure staff respond to complaints quickly, efficiently, and fully in line with ATs formal Complaint Management policy and process Ensure staff are empowered to find appropriate outcomes for customers within their authority Signing off full and final responses before responses are sent to customers (joint responsibility with the Manager Customer Care, Customer Care Engagement Manager & Group Manager Customer Services)
Group Manager, Customer Services	<ul style="list-style-type: none"> Overall responsibility for the operational management of complaints in line with policy and procedure. Monitoring/ reporting on SLA achievements to the organisation and executive team Signing off full and final responses before responses are sent to customers (joint responsibility with the Manager Customer Care, Customer Care Engagement Manager & Tier 3 Managers)
People Managers	<ul style="list-style-type: none"> Support and coach staff in dealing with challenging conversations, including dealing with difficult customers, when required.
Manager Customer Care	<ul style="list-style-type: none"> Circulate performance and compliance reports on complaint activity (this maybe delegated). Monitor and regularly review Ombudsman complaints (this may be delegated). Manage escalated complaints and complaints of a sensitive nature through to resolution. Signing off full and final responses before responses are sent to customers (joint responsibility with the Tier 3 Managers, Customer Care Engagement Manager & Group Manager Customer Services)
Customer Care Case Management Team	<ul style="list-style-type: none"> Manage complaints from end-to-end by assessing, investigating, researching, monitoring and working with the business unit to agree resolution in line with policy and procedure. Provide advice, guidance and constructive challenge at all levels across AT in all aspects of complaint management and resolution.
Business unit subject matter expert	<ul style="list-style-type: none"> Work with the Customer Care Case Management Team to investigate and resolve complaints and provide information, as required, within allocated time to meet customer expectations. The Subject matter expert will provide the primary source of information through investigation and collaboration with Customer Care Business Partners in-order to customers with the best possible outcome.
Service providers	<ul style="list-style-type: none"> Support AT and the Customer Care Case Management Team to investigate and resolve complaints.
All staff (including contractors)	<ul style="list-style-type: none"> Understand and comply with AT's formal Complaint Management policy and process.

Complaint Process

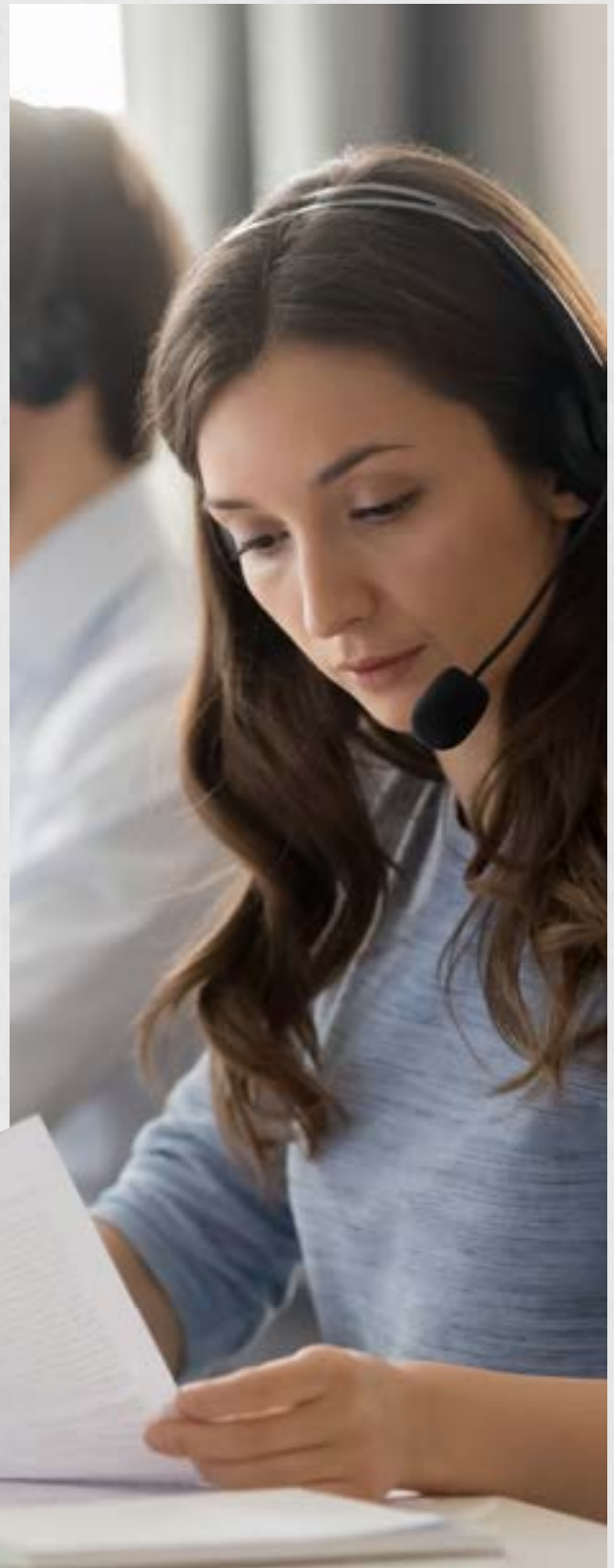
Stage 0 Frontline Resolution



Stage 1 Formal Complaints



Stage 2 Formal Complaint Review



- Frontline Teams
- Operators/Business Units
- Subject Matter Expert
- Customer Care Case Management Team
- Review Panel
- Required Sign off

