



Australian Government

Inspector-General of Taxation

Taxation Ombudsman

Quarterly Reporting Pack

Quarter 1, 2019-2020

Part 1

Complaints Data

Complaint categorisations

Definition of a complaint per ISO standards:

Any expression of dissatisfaction made to or about an organisation, related to its products, services, staff or the handling of a complaint, where a response or resolution is explicitly or implicitly expected or legally required.

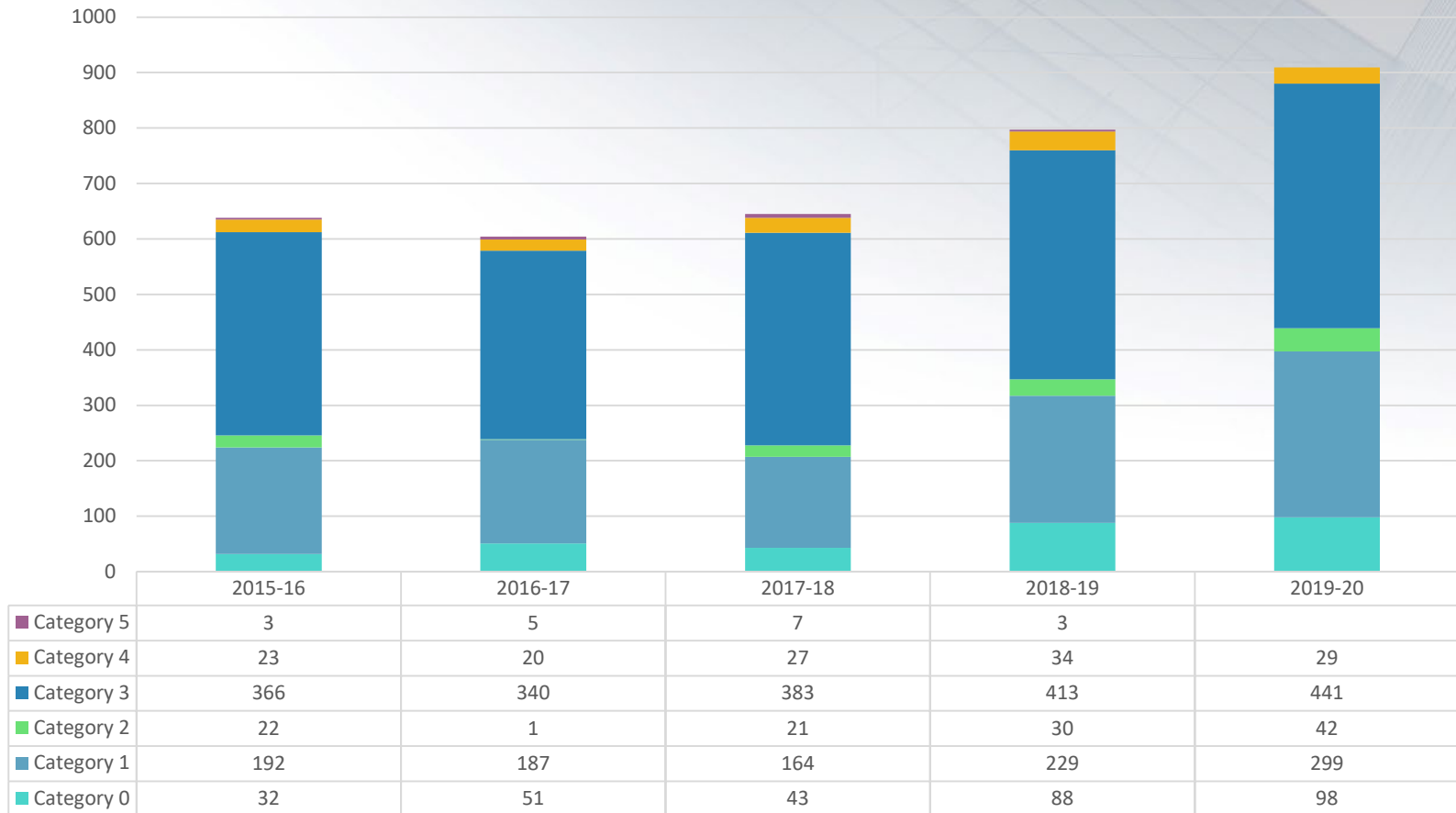
Categories where no investigation notice is sent to the ATO

Category 0	Complaints that are assessed and no further action is taken or contact is lost with the complainant.
Category 1	Complaints that are able to be resolved by the IGTO directly, including those which are referred elsewhere.
Category 2	Complaints: <ul style="list-style-type: none">- where feedback is being provided to the agency without an investigation;- transferred to another agency (e.g. Commonwealth Ombudsman); or- following consideration of the issues, is declined.

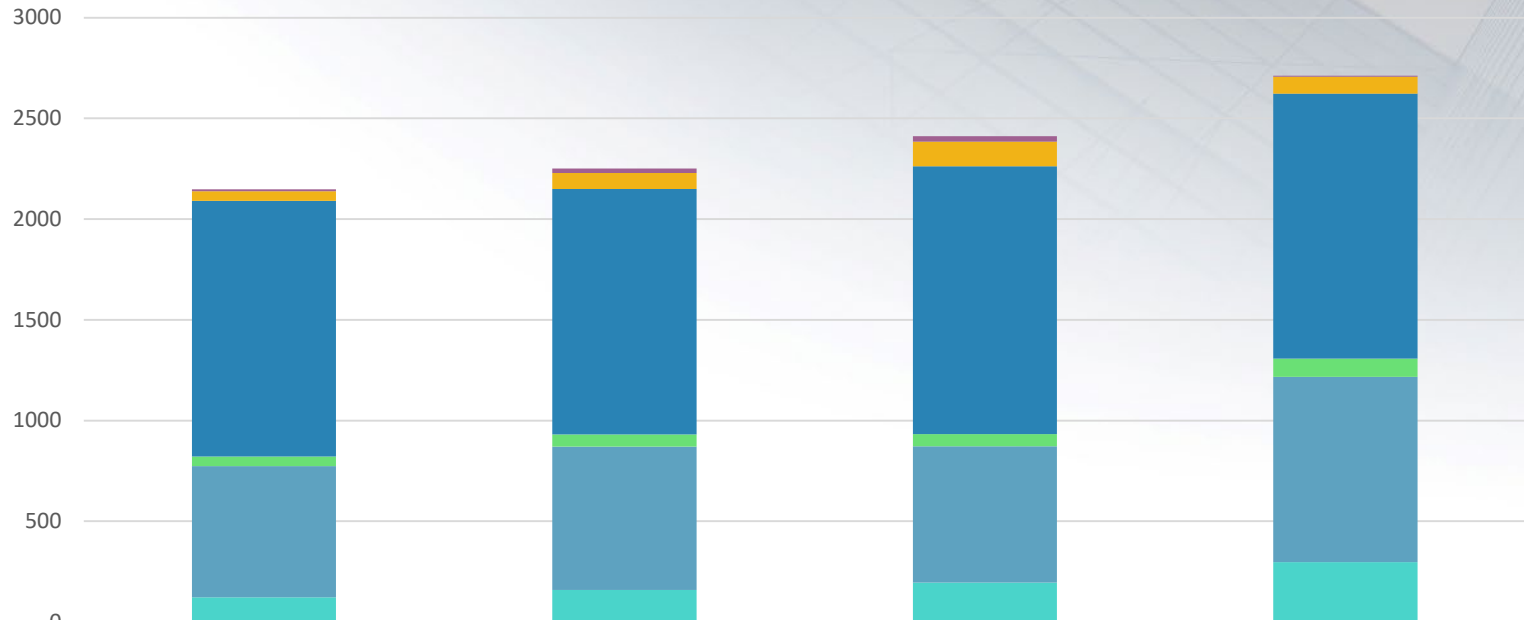
Categories where an investigation notice is sent to the ATO

Category 3	Relatively simple complaints that are expected to be resolved in a timely manner. Includes cases where ATO and IGTO reach common understanding on the issues and options for resolution (known as “Referrals” by the ATO) as well as cases with minimal IGTO involvement (known as “Transfers” by the ATO).
Category 4	Complex Complaints that warrant direct and ongoing IGTO involvement.
Category 5	Complex Complaints that require the involvement of SES responsible for the subject of the complaint.

Total complaints received in Quarter 1 each year

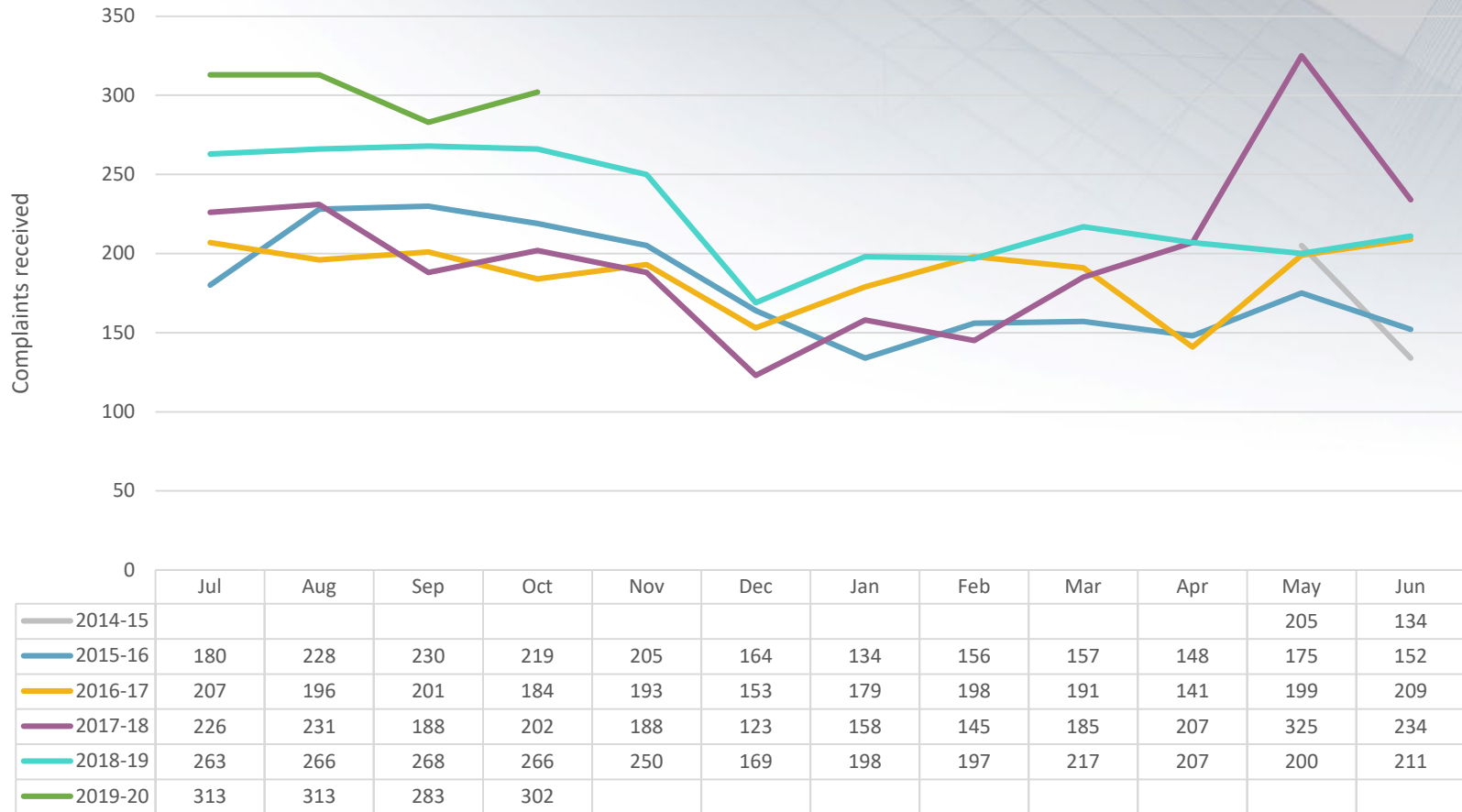


Total complaints received each year



	2015-16	2016-17	2017-18	2018-19
Category 5	10	22	27	5
Category 4	47	79	122	84
Category 3	1270	1219	1331	1315
Category 2	47	60	60	91
Category 1	652	712	676	919
Category 0	122	159	196	298

Total complaints received each year



Part 2

Key Performance Indicator (KPI) results for Quarter 1, 2020

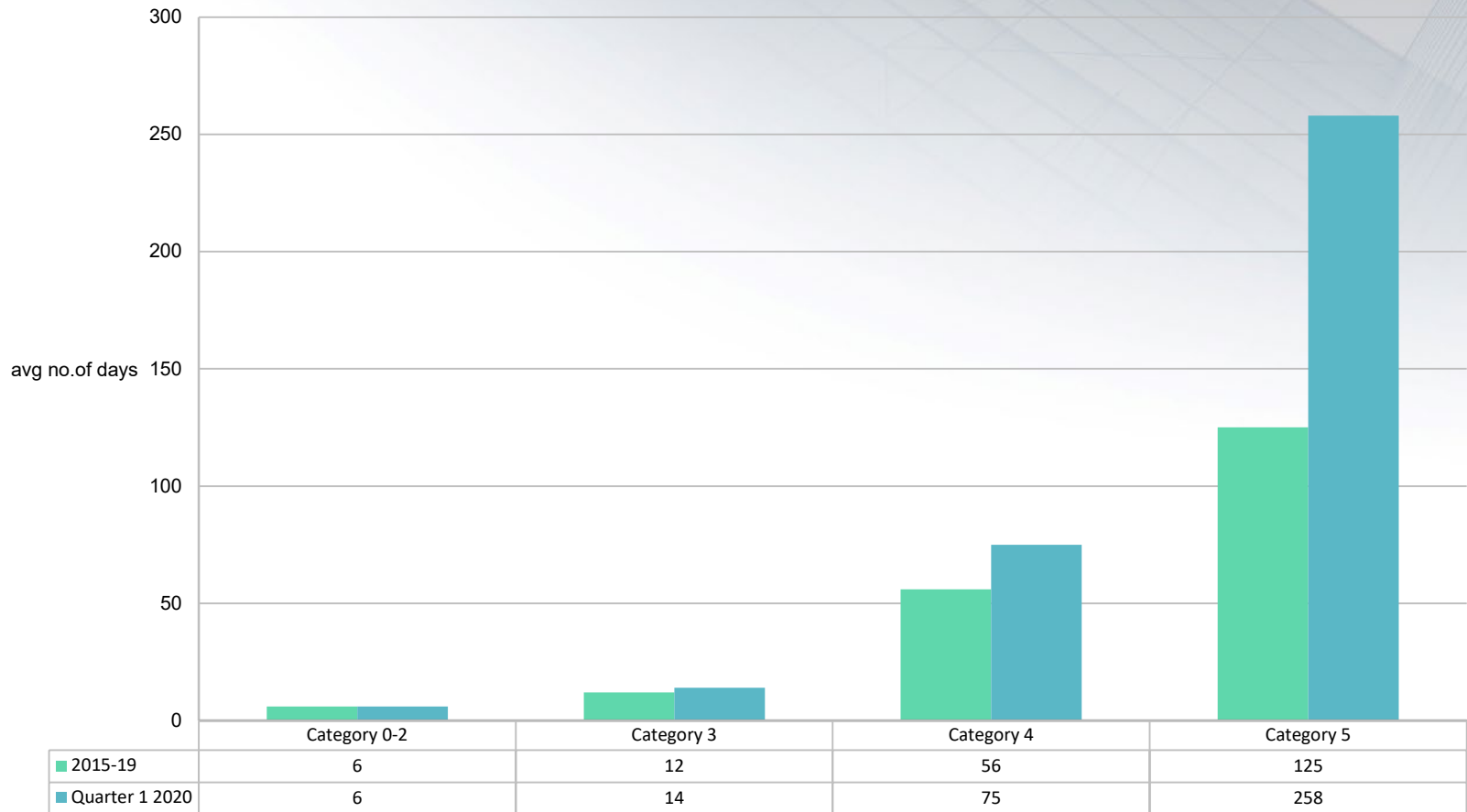
Key performance areas

<p>KPA 1</p> <p>Provide an independent, efficient and effective tax complaints service for taxpayers</p>	<ul style="list-style-type: none"> • Actively investigate complaints in a fair, independent and timely manner. • Provide understandable reasons for our decisions. • Maintain cooperative relationships with the ATO and TPB. • Identify and share improvement opportunities, internally and also with the ATO and TPB, to support prompt and effective delivery. • Provide targeted training and development to staff in order to maintain a tax specialist complaints team. 	
<p>KPA 2</p> <p>Identify and investigate priority areas for improved tax administration</p>	<ul style="list-style-type: none"> • Analyse data and feedback obtained from complaints together with consultation with stakeholders to identify broader tax administration issues. • Allocate resources appropriately to priority areas. 	
<p>KPA 3</p> <p>Provide advice that is independent, timely and relevant to the administration of taxation laws in Australia</p>	<ul style="list-style-type: none"> • Be responsive to the community, including the Government, the ATO and the TPB in making effective recommendations for improving tax administration. • Allocate resources to conduct reviews appropriately. 	
<p>KPA 4</p> <p>Co-operate and collaborate with relevant agencies and stakeholders - both domestically and internationally</p>	<ul style="list-style-type: none"> • Engage with the Government, ATO and the TPB to communicate effectively and efficiently on areas of concern. • Foster relations with other government agencies and Ombudsman to ensure tax administration complaints are referred to our office. • Engage with the broader community using a variety of channels. 	
<p>KPA 5</p> <p>Foster a diverse, engaged and resilient team</p>	<ul style="list-style-type: none"> • Provide a workplace environment in which our staff are supported, engaged and inspired to provide the best service and outcomes. • Develop our specialist capabilities through targeted training and development opportunities. • Ensure our office is made up of diverse people with varied qualifications, skills and experience. 	

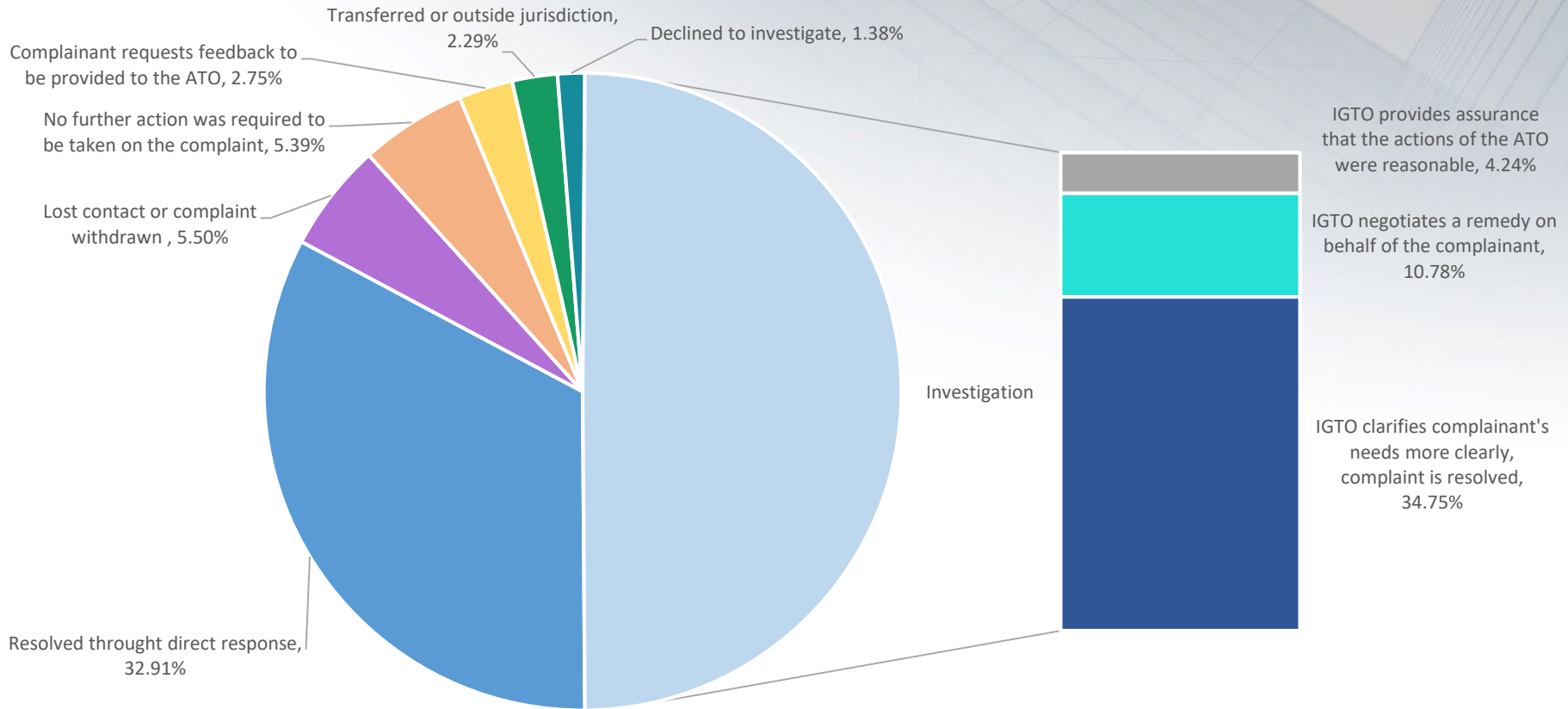
KPA 1

Provide an independent, efficient and effective tax complaints service for taxpayers

Average number of days to resolve complaints



Most complaints resolved by Agreement



KPA 2

**Identify and investigate priority areas
for improved tax administration**

Top 5 complaint issues with ATO

1. Debt collection

- How has the ATO calculated this debt and why is it using my refund to pay it?
- Why has the ATO issued me a Director Penalty Notice and garnished funds from my bank accounts?
- The ATO won't accept my payment arrangement offer and wants to bankrupt me

2. Lodgement and processing

- The ATO won't process my amendment
- Why does the ATO say I'm not eligible for a tax offset?
- I can't lodge my tax return electronically

3. Payments to the taxpayer

- The ATO hasn't paid me my tax refund
- Why isn't the ATO making my employer pay me super?

4. Communications

- The ATO never sent me that notice
- The call centre gave me the wrong information

5. Audit and review

- The ATO has not properly considered my evidence and circumstances in its audit
- I don't understand the ATO's decision

Top 5 complaint issues with TPB

1. Breach of code of conduct (of tax practitioners)

- The TPB is not investigating my tax agent's conduct

2. Registration

- The TPB is not helping me to renew my registration

3. Sanctions

- The TPB has decided I've breached the code of conduct without conducting a proper investigation
- The TPB has cancelled my company and tax agent registration unfairly

4. Unregistered tax agent action

- The TPB is not taking action against unregistered tax agents

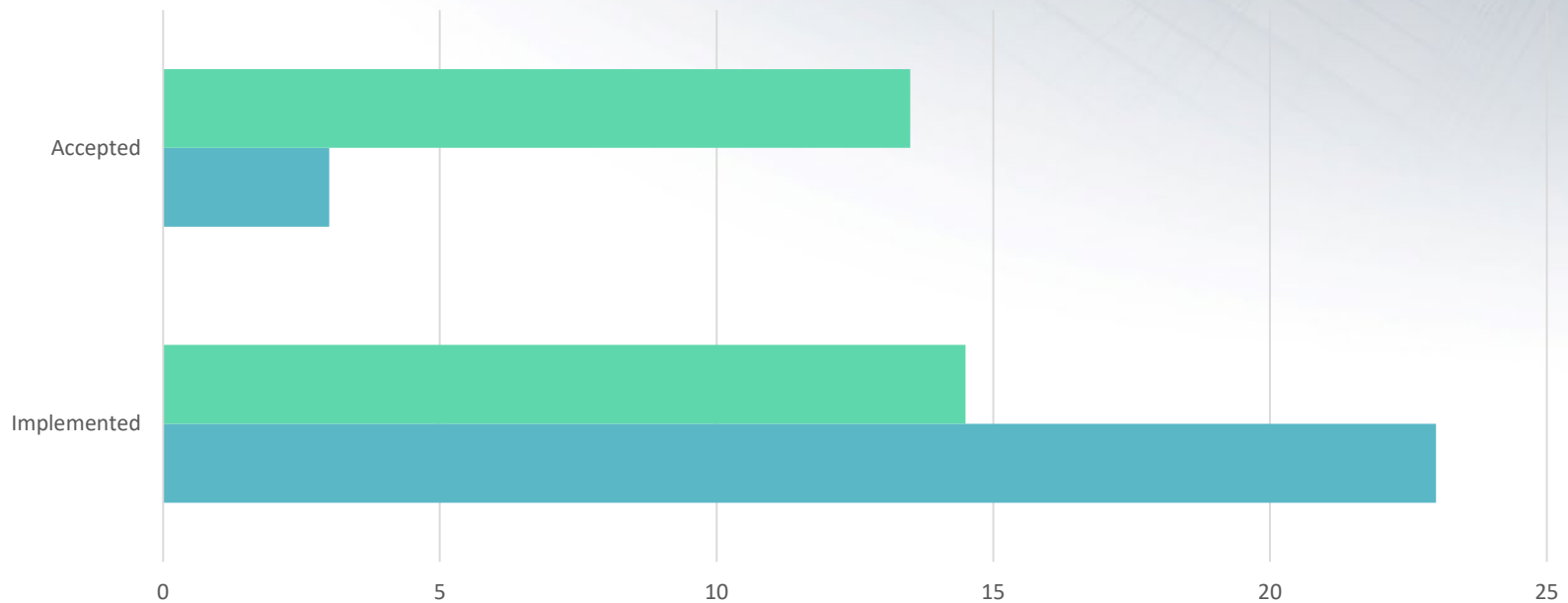
5. Registration and taxpayer details

- I'm having issues using the TPB's proof of identity system for registration

KPA 3

**Provide advice that is independent,
timely and relevant to the
administration of taxation laws in
Australia**

Agreed Business Improvements accepted and implemented by the ATO and TPB

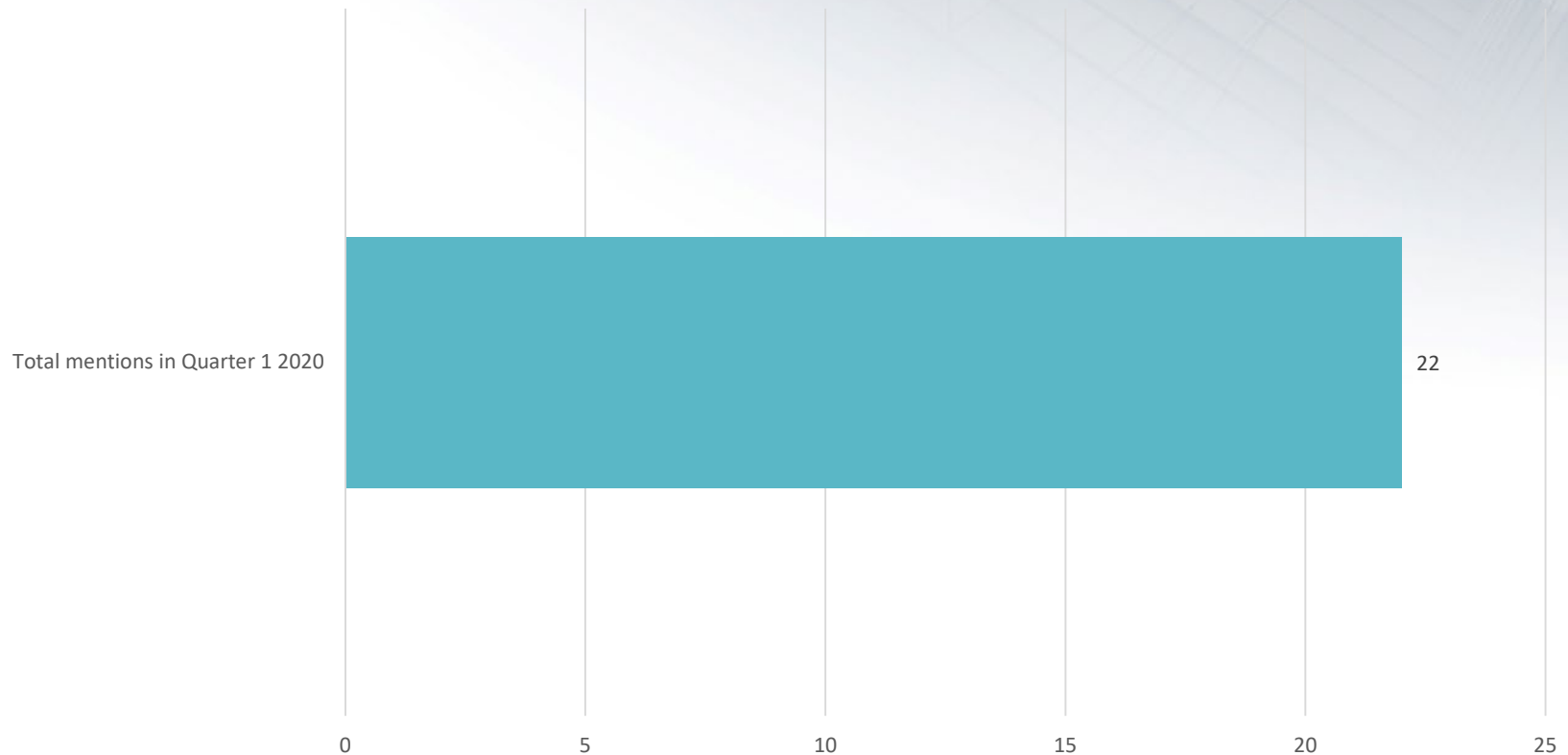


	Implemented	Accepted
Historical	14.5	13.5
Quarter 1 2020	23	3

Reponses to Government, Treasury or Parliamentary reviews that relate to taxation administration



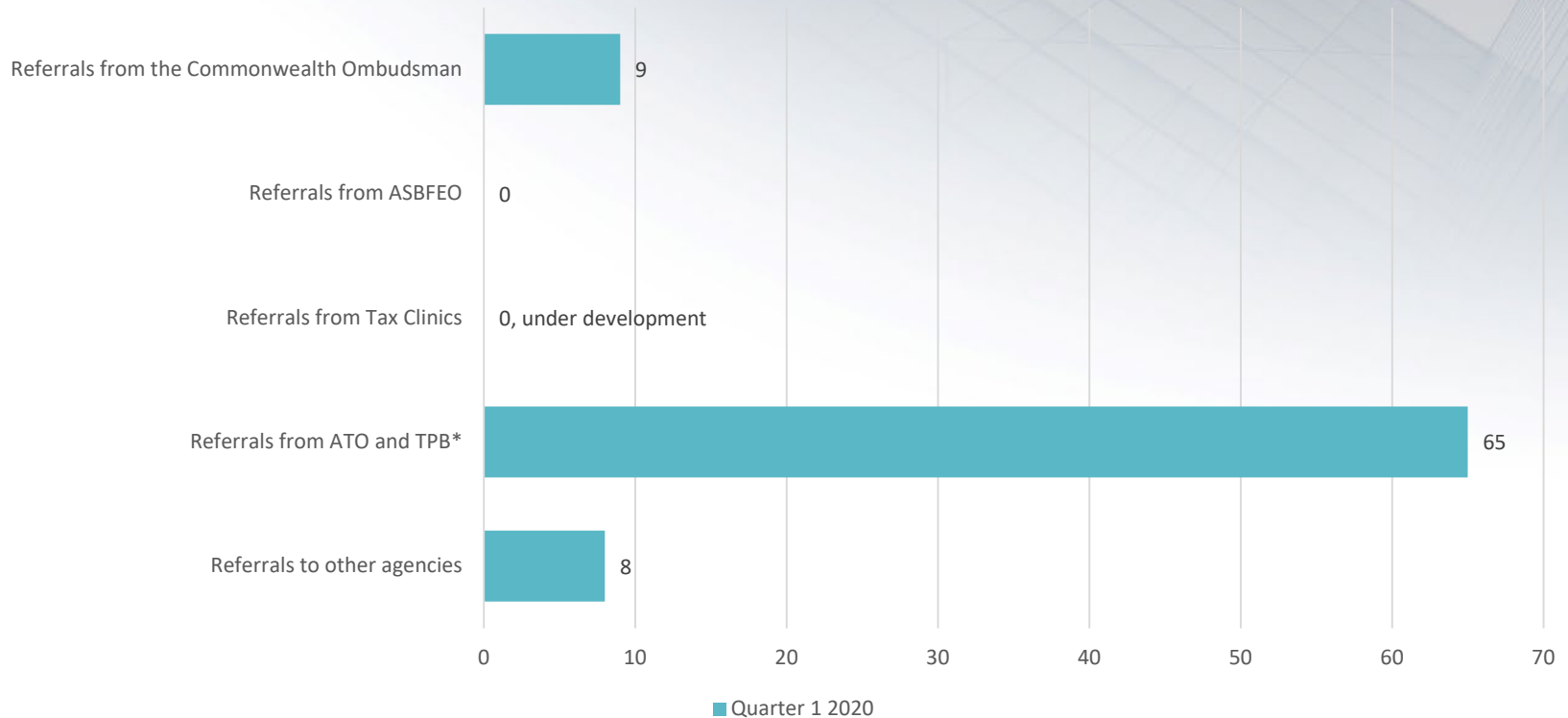
Mentions of the IGT0 in professional newsletters, updates, reports, and conference papers



KPA 4

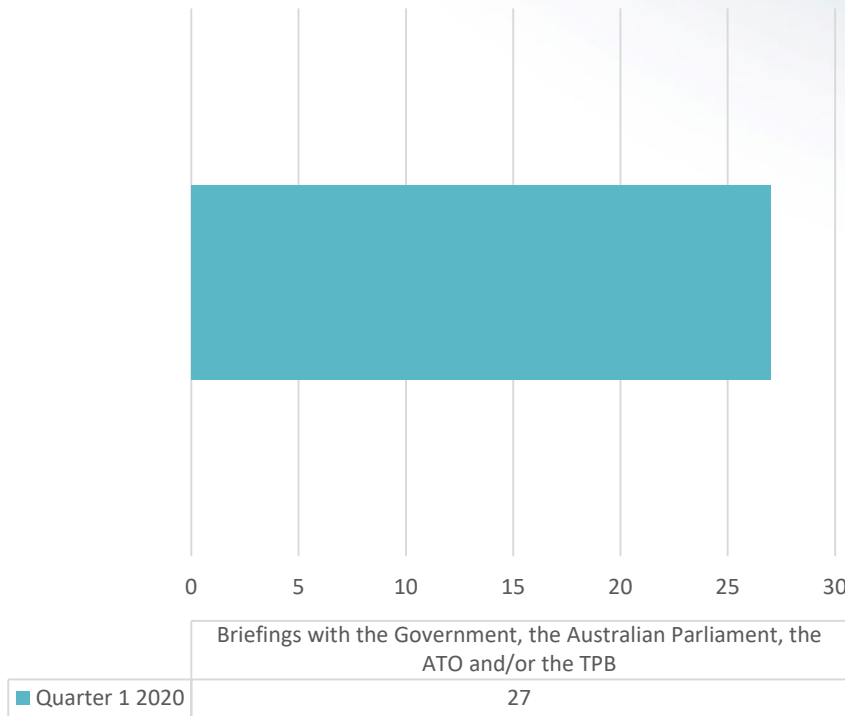
Co-operate and collaborate with relevant agencies and stakeholders – both domestically and internationally

Cross referrals to/from other agencies



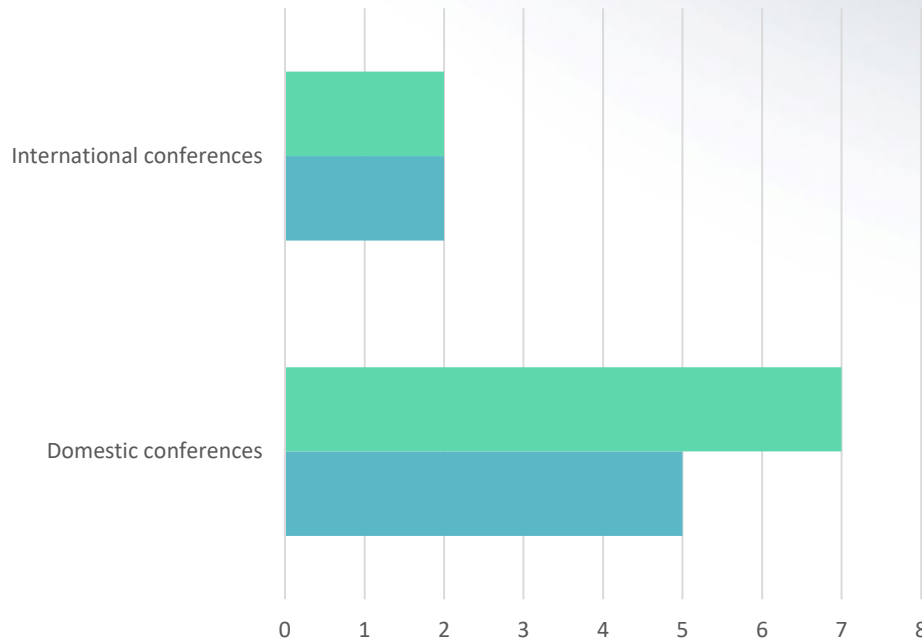
* The number of referrals received from the ATO and TPB is based on the number of complainants who found the IGTO from the agency for which they are complaining about

Briefings with the Government, the Australian Parliament, the ATO and/or the TPB



Briefings in Quarter 1 2020	
ATO	Senate Committee
Department of Finance	Chair, Senate Economics Committee
Assistant Minister for Superannuation, Financial Services and Financial Technology	Assistant Treasurer
The Treasury	APSC
Treasurer	Commonwealth Ombudsman
ARPC	Board of Taxation
TPB	Attorney-General's Department

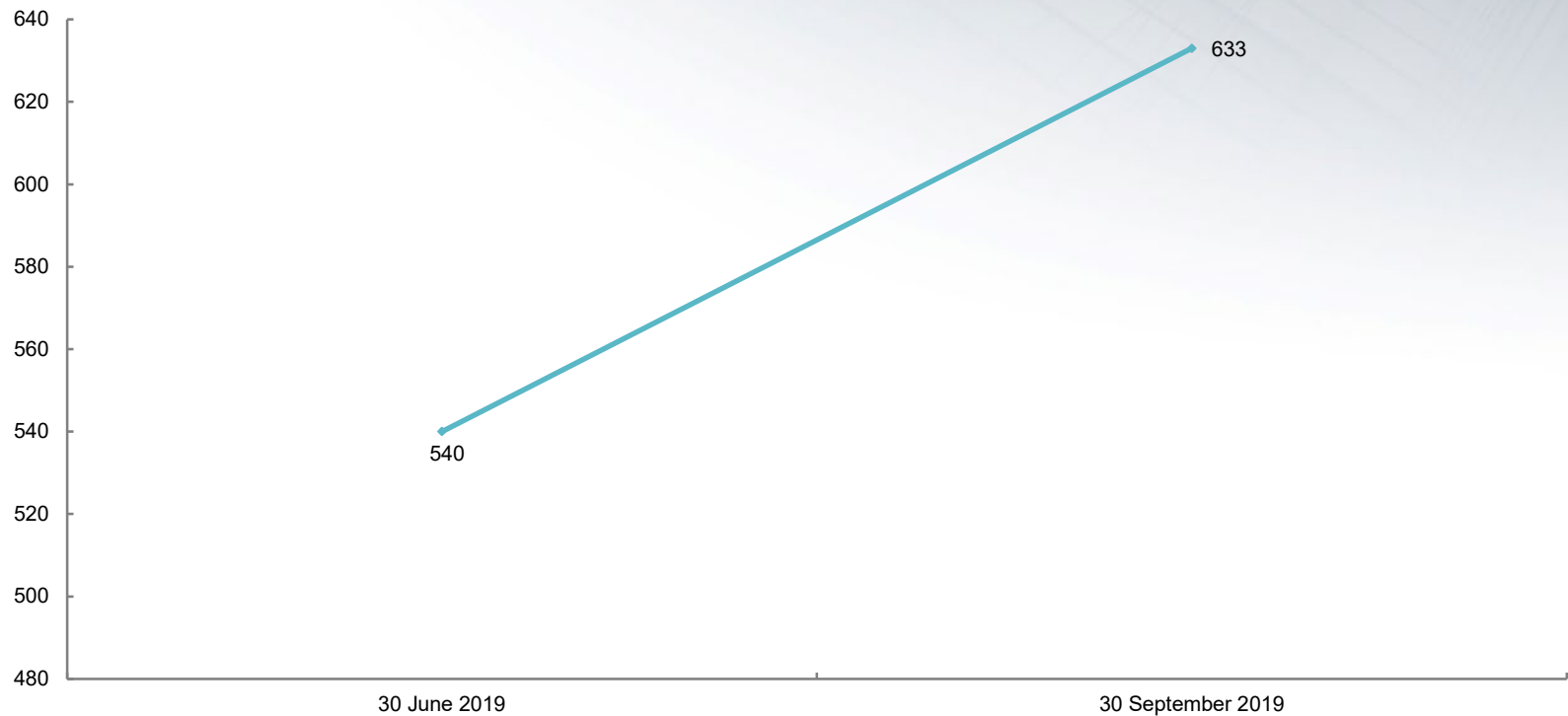
Participation at relevant domestic and international conferences and forums



	Domestic conferences	International conferences
2018-19	7	2
Quarter 1 2020	5	2

- Domestic conferences in Quarter 1 2020**
- SOCAP Symposium
 - Women in Leadership Symposium
 - Tax Institute Tax Disputes Conference
 - IPA Women in Practice Conference
 - Tax Institute 52nd Western Australia National Convention

Registered subscribers to IGTO newsletter via website



Website and Social Media

KPI	Description	Quarter 1 2020
Up-to-date IGTO website links and information referring to related agencies	Percentage and total website links to other agencies are up-to-date	100% (15 of 15)
	Percentage and total number of other agencies listed on the IGTO website which contain valid links to the IGTO website	33.3% (5 of 15)
Website hits	Total website hits	40,963
Social media engagement	Total number of Facebook fans	5,692
	Total impressions*	3,256,694
	Total engagements^	9,795
	Total number of Twitter followers	687

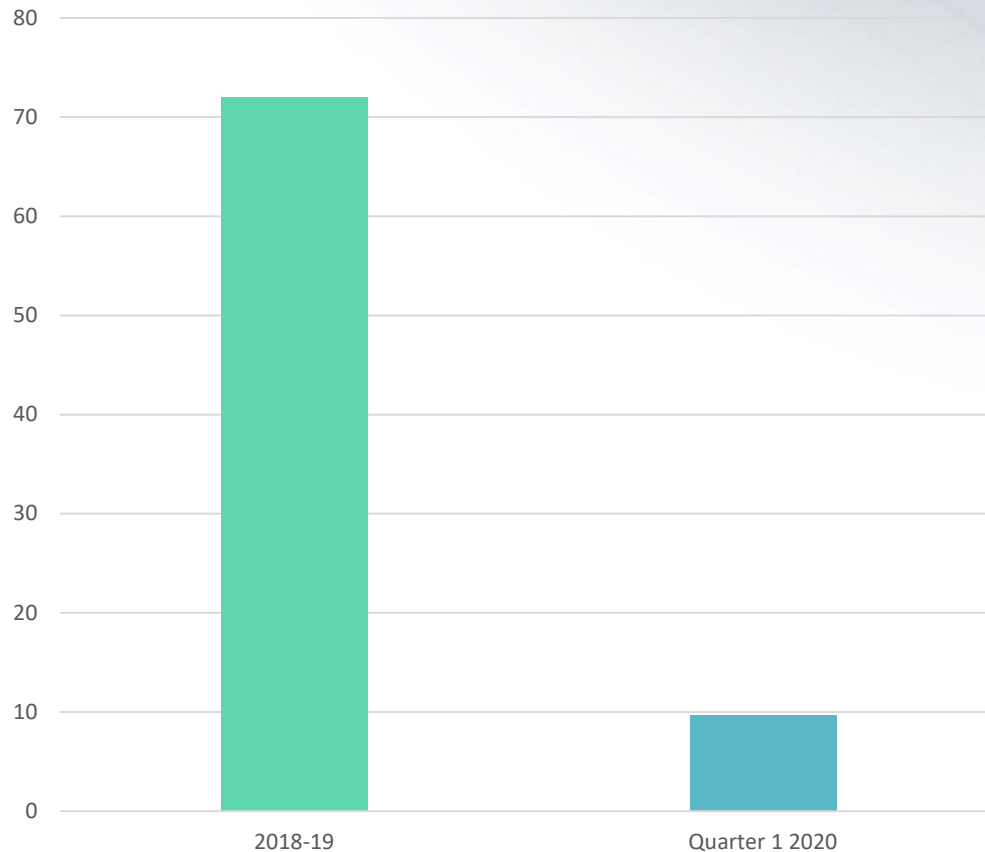
* Impressions - the number of times that content appears on-screen

^ Engagements - any action a person takes to interact with the content, including likes, reactions, shares, comments, clicking on links or the content itself

KPA 5

Foster a diverse, engaged and resilient team

Average hours per staff attending specialist training annually



Examples of speciality training attended in Quarter 1 2020

NSWO Frontline staff

NSWO UCC

SOCAP – Skills for handling an agitated caller

Presentation from Deputy AIC

AIAL – Robodebt automated administrative decision making

FOI and Privacy Practitioners Forum

Monitor diversity in the agency including the percentage of female staff across all levels

