



NATIONAL COUNCIL FOR POPULATION AND DEVELOPMENT

NCPD/P/MR/08: COMPLAINTS MANAGEMENT PROCEDURE

| | Signature | Date |
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| Prepared by: Management Representative | | |
| Approved by: Director General | | |
| Issued by : Management Representative | | |

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AMENDMENT RECORD

This procedure is reviewed regularly to ensure relevance to the systems and process that it defines. A record of contextual additions or omissions is given below;

| Amendment Date | Issues No. and Revision No. | Page Numbers | Context | Initials | Revised by HOD | Approved By MR |
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1. GENERAL INFORMATION

1.1 PURPOSE

The purpose of this procedure is to provide a clear road map for receiving, analyzing and resolving complaints so as to improve service delivery.

1.2 SCOPE

Applies to complaints management at NCPD.

1.3 REFERENCES

- a) NCPD Strategic Plan
- b) NCPD Policies and Procedures
- c) NCPD Service Delivery Charter
- d) Constitution of Kenya 2010
- e) Commission on Administrative Justice Act
- f) The Kenya Public Sector Complaints Handling Guide

1.4 TERMS AND DEFINITIONS

- a) CAJ- Commission on Administrative Justice
- b) CPC- County Population Coordinator
- c) Committee- Refers to the NCPD Complaints Committee.
- d) Complaint- A complaint is an expression of dissatisfaction by a person, group, institution or organization about an unsatisfactory situation including an act or omission, or about the standard of a service offered.
- e) DG- Director General
- f) HOD/U- Head of Department/Division/Unit
- g) Lodging- Making of a formal complaint about NCPD or an employee of NCPD.
- h) NCPD- National Council for Population and Development
- i) Resolution- A situation where NCPD has provided sufficient information, remedy or solution to a complainant.
- j) Respondent- An employee of NCPD or NCPD as an institution against whom a complaint is made.

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- k) Root cause- The primary source of the complaint.
- l) Secretary- Refers to the Secretary of the NCPD Complaints Committee.

1.5 PRINCIPAL RESPONSIBILITY

The DG shall have the principal responsibility of ensuring that the procedure is effectively implemented.

1.6 INTERFACES

Relevant staff for reporting or participating in resolution of complaints.

1.7 PERFORMANCE TARGET

The performance shall be measured through the overall performance of the Council basing on;

| PERFORMANCE TARGET | MONITORING AND MEASUREMENT |
|---|--------------------------------------|
| Timely and effective resolution of complaints | Review complaints resolution reports |
| Implementation of resolutions | Review implementation reports |

1.8 RESOURCES

The resources to be used in the processes are listed below: -

- a) Personnel
- b) Funds
- c) Stationery

1.9 INPUTS AND OUTPUTS

| INPUTS | OUTPUTS |
|---------------------|---------------------|
| Reported complaints | Resolved complaints |

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| Evidence | Updated complaints forms |
| Meetings | Updated complaints register |
| | Complaints committee minutes |

2.0 METHOD

2.1 Establishment of Complaints Committee

- 2.1.1 The DG shall establish the NCPD Complaints committee and appoint the Chairperson, Secretary and members.
- 2.1.2 The members of the committee shall be drawn from various functional areas within the Council.
- 2.1.3 The committee shall meet at least once in every quarter.
- 2.1.4 The Committee may hold special meetings when need arises.

2.2 Lodging of complaints

A complaint may be lodged by an individual, group or an organization. The complaint may also be lodged by the affected party individually or lodged on their behalf by another interested party.

Complaints may also be channeled to the Council through the CAJ.

- 2.1.1 A complaint may be lodged through the following modes;
- Complaints lodged in person through personal visits
 - Dedicated NCPD complaints email
 - Portal in the NCPD website
 - NCPD Toll free line
 - Written letters
 - Telephone call to NCPD complaints officers
 - Text messages
 - Social media
- 2.1.2 In addition to the above modes, the Council will also receive complaints through its own motion. This is where the Council picks up a relevant issue exposed through the media or any public forum.
- 2.1.3 Where necessary, complaints may also be reported anonymously by individuals or groups.

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2.3 Documentation of complaints

2.3.1 The Complaints Committee shall develop a Complaints Form.

2.3.2 The form shall provide for the following particulars;

- Date the complaint is received
- Name of Complainant
- Address
- Contacts
- County
- Gender
- Complaint reference number
- Mode of reporting the complaint
- Nature of complaint (What, who, when, where etc.)
- Parties involved.
- Date of occurrence
- Accompanying documents
- Action taken

2.3.3 All documents relating to complaints shall be filed in an appropriate confidential file, stored securely and access rights granted as per the records management policy and procedures.

2.3.4 The Council shall maintain a Complaints Register which shall record all complaints received, their nature and status of resolution. The register shall have particulars as per the template below;

| REF /NO. | DATE RECEIVED | NAME OF THE COMPLAINANT | COMPLAINT ISSUE | COMPLAINT CHANNEL | DATE ACKNOWLEDGED | ROOT CAUSE OF THE COMPLAINT | ACTION TAKEN | STATUS |
|----------|---------------|-------------------------|-----------------|-------------------|-------------------|-----------------------------|--------------|--------|
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2.3.5 The Secretary shall be the custodian of the Complaints Register.

2.3.6 Within seven (7) days after the end of every quarter, the Secretary shall update the Complaints Register with reference to the complaints forms recorded during that quarter.

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2.4 Receipt and acknowledgement of complaints

All complaints received at the Council shall be channeled to the NCPD Complaints Committee.

Upon receipt of any complaint, the following process shall apply;

- 2.4.1 The Secretary of the Complaints Committee assigns the complaint a reference number and records the details of the complaint in the Complaints Form.
- 2.4.2 Communication is sent to the complainant acknowledging receipt of the complaint within seven (7) days of receipt of the complaint.
- 2.4.3 The communication to the complainant shall indicate the complaint reference number for tracking purposes.

2.5 Analysis of complaints

Whenever a complaint is received, the Committee shall meet to process the complaint. The following process shall apply for analysis of the complaint.

- 2.5.1 The Committee reviews the complaint to determine whether it is admissible. The committee in determining the admissibility of the complaint will consider the following aspects;
 - The nature of the complaint falls within the mandate of NCPD.
 - Whether the complaint is being handled by another competent institution e.g. the Courts.
- 2.5.2 If the complaint is not admissible then the committee will communicate to the complainant indicating that the complaint is not admissible and stating the reasons for inadmissibility. The Committee may further advise the complainant on how to get further assistance where applicable.

2.6 Action

Action shall apply to complaints which are deemed to be admissible to the Council.

- 2.6.1 At this stage, the Committee may coopt any officer(s) who may be able to offer expertise on the complaint.
- 2.6.2 The Committee shall carry out an investigation to establish the facts and explore options for resolution of the complaint.
- 2.6.3 The investigations shall be guided by the following factors;
 - What is to be investigated.
 - What evidence will be gathered.

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- Who is to be interviewed.
- Documents to be referred to.
- Expectations of the complainant.
- Security of the complainant.
- Confidentiality of information.

2.6.4 In the review of the evidence gathered, the following shall be taken into consideration;

- Fair treatment of the complainant and the respondent.
- Opportunity for both parties to be heard.
- Objectivity.
- Adherence to the constitution and rule of law.

2.7 Resolving the complaint

2.7.1 The Committee will evaluate the evidence gathered and the possible solutions identified. The solutions may involve mediation, negotiation or conciliation.

2.7.2 The Committee shall determine the most appropriate solution from the list of possible solutions.

2.7.3 The recommended solution shall be communicated to the complainant within 30 days from the date of reporting the complaint.

2.7.4 Any complainant not satisfied with the decision of the Committee may appeal to the DG in writing within 14 days of receiving the decision of the Committee.

2.7.5 The Committee may also refer a complainant to another institution for remedy, where it feels that that institution is best suited to offer remedy to the complainant.

2.8 Closure of the Complaint

2.8.1 Once a decision has been arrived at, it shall be communicated to the complainant, the respondent and other interested parties.

2.8.2 The Secretary shall record the decision taken in the complaints form.

2.8.3 The Secretary shall update the complaints register as appropriate.

2.9 Audit and review of the complaints system

2.9.1 Root cause analysis

2.9.1.1 For all complaints processed, the Committee shall determine and document the root cause of the complaint.

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2.9.1.2 The Committee shall determine the remedial action required and recommend to the DG for approval and action.

2.9.2 **Monitoring and evaluation**

2.9.2.1 The Committee shall prepare a monthly brief to the DG on the complaints status for the month.

2.9.2.2 The Committee shall submit quarterly reports in the prescribed format to the CAJ within fourteen (14) days after the end of the quarter.

2.9.3 **Customer satisfaction surveys**

2.9.3.1 The Council shall undertake annual customer satisfaction surveys to determine the level of customer satisfaction and effectiveness of the complaints management system.

2.9.3.2 The recommendations of the survey shall be implemented to ensure improvement in the service delivery and complaints handling.

2.10 **Follow-up**

2.10.1 Once a complaint is addressed, the Committee shall carry out a follow up on the implementation of the decision to ensure the issue is resolved with finality.

2.10.2 The follow up shall also address the root cause of the problem to ensure there is no recurrence.

3.0 **LIST OF APPLICABLE RECORDS**

- a) Complaints form
- b) Complaints register
- c) Minutes of Complaints committee
- d) Acknowledgement of complaints
- e) Communication of resolutions