



UNIVERSITY OF NAIROBI



COMPLAINTS MANAGEMENT POLICY

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ABBREVIATIONS AND ACRONYMS

CAJ Commission on Administrative Justice

CMS Complaints Management System

QMS Quality Management System

UoN University of Nairobi

OPERATIONAL DEFINITION OF TERMS

Complainant: A person, group of persons, organization or institution making a complaint in respect to service delivery or performance

Complaint: An expression of dissatisfaction made to or about an organization, related to its products, services, staff or the handling of a complaint, where a response or resolution is legally, explicitly or implicitly expected or legally required

Complaints Handling Procedures: The steps a complaint goes through in an institution from receipt to the day it is actually resolved

Complaint Management System: Policies, procedures, practices, staff, hardware and software used by us in the management of complaints

Corrective Action: The improvement to an organization's processes or system taken to eliminate causes of complaints or other undesirable situations. Further proactive actions may be taken to determine potential risks before they could occur and to ensure that they do not happen

Customer Focus: Is realized when an organization is open to feedback and committed to seeking appropriate resolution of complaints and addressing policy and process inadequacies highlighted by them

Feedback: Opinions, comments and expressions of interest or concern, made directly or indirectly, explicitly or implicitly, to or about University products or services

Procedure: A statement or instruction that sets out how policies will be implemented

Root Cause: The primary cause(s) of the complaint

FOREWORD

The performance and visibility of the University is determined to a great extent by the quality of services it offers to its esteemed customers and response to complaints on any non-conforming products and services. In order to improve the customer satisfaction levels with the products and services offered, it is important to resolve complaints in a timely and an effective manner. It is against this background that the University has developed the complaints management policy to provide a framework for efficient receipt and resolution of complaints.

The University will continue to provide the necessary infrastructure and resources to ensure that stakeholder complaints are received and handled in a professional, timely and effective manner. This policy document provides guidance and stipulates the mechanisms for the management of the University's complaints. The main purpose of this document is to guide the University in the receipt, processing and management of complaints resolutions through an effective system.

This policy has been developed to be in line with available legislative framework and shall be applied alongside the Constitution of Kenya - 2010 and other existing laws and regulations governing the management of public complaints. The University management commits itself to the implementation of this policy and will subject it to periodic reviews to ensure its relevance in line with the emerging issues and changing circumstances.

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Vice Chancellor

&

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1. BACKGROUND

The Complaints Management Policy is underpinned by the University's Vision, Mission, Philosophy and Objectives as articulated in the University of Nairobi Charter 2013 and is pursuant to the Commission on Administrative Justice Act Regulations 2013.

1.1 VISION

"A world-class university committed to scholarly excellence"

1.2 MISSION

To provide quality university education and training and to embody the aspirations of the Kenyan people and the global community through creation, preservation, integration, transmission and utilization of knowledge

1.3 CORE VALUES

1.3.1 Freedom of Thought and Expression: We shall promote and defend freedom of thought and expression in all our academic inquiry and activities.

1.3.2 Excellence: Our actions and interactions shall be guided by high standards and sustained endurance for excellence.

1.3.3 Care: We foster a leadership culture that cares, is people-focused, that connects to and is responsive to the needs internal and external customers, and promotes stewardship over University resources on behalf of beneficiaries.

1.3.4 Good Governance: We shall be guided by the national values and principles of governance specified under Articles 10 and 232 of the Constitution. These include integrity; transparency; accountability; inclusiveness; high standards of professional ethics; efficient, effective and economic use of resources; and responsive, prompt, effective, impartial and equitable provision of services.

1.3.5 Innovativeness and Creativity: Innovation and creativity shall be our hallmark in delivering value to our customers.

1.3.6 Partnership and Teamwork: We foster work culture characterized by teamwork and partnership with both internal and external stakeholders.

1.4 PHILOSOPHY

The University of Nairobi is guided by the need to connect and inspire the Kenyan community, to provide leadership and stewardship and to give hope and faith to the Kenyan society that it can excel in whatever it chooses to do with passion, moral responsibility and a strong sense of patriotism. sp

2. INTRODUCTION

Complaints handling is an important way for an organization's management to be accountable to the public, as well as provide valuable prompts to review organizational performance and the conduct of people that work within and for it. It gives an organization's stakeholders the opportunity to express their satisfaction or displeasure with the products or services it offers.

It is imperative that when responding to complaints, staff should act in accordance with the University complaint handling procedures as well as any other internal documents providing guidance on the management of complaints. University staff should also consider any relevant legislation and/or regulations when responding to complaints and feedback.

The Commission on Administrative Justice (CAJ) is the body that is mandated with ensuring that public institutions in Kenya are responsive to complaints raised by the public and other internal or external stakeholders. The Commission is mandated to enforce administrative justice in the public sector by addressing maladministration through effective complaints handling and alternative dispute resolution; promoting good governance and efficient public service delivery by enforcing the right to fair administrative action; and by investigating abuse of power, manifest injustice and unlawful, oppressive, unfair or unresponsive official conduct.

The University has established an open, fair and accessible complaints management system and procedures designed to encourage prompt resolution at the earliest opportunity. The University's aim to investigate issues thoroughly as close to the initial point of contact as possible and to resolve complaints expeditiously and courteously in the best interests of all parties. The University will also strive to identify root causes of complaints and implement corrective actions or areas of improvement related to a complaint. **Furthermore, the University commits to ensure that the safety, interest and well-being of all people associated with a particular complaint are properly safeguarded. (rephrase)**

An effective complaint handling system will provide the University with the following key benefits: **resolves issues raised by persons who are dissatisfied with the quality of products and services in a timely and cost effective way; provide information that can lead to improvement in service delivery; and improve the public confidence with respect to the reputation and strength of the University's administrative processes if the complaints are handled effectively.** (are these all benefits?), what of

- Identify Vital Areas for Service Improvement. ...
- Identify Needed Improvement in Policies and Procedures. ...
- Improve Customer Communication. ...
- Keep Senior Management Informed. ...
- Improve Your Service Education.

3. PURPOSE AND OBJECTIVES

3.1 PURPOSE

This policy is intended to ensure that the University handles complaints fairly, efficiently and effectively.

3.2 OBJECTIVES

The objectives of the Complaint Management System (CMS) are to:

- a) Enable the University to respond to complaints raised by stakeholders in a timely and cost-effective way
- b) Boost public confidence in the administrative process

- c) Provide information that can be used by the University to improve the quality of its products and services
- d) Provide guidance to staff and stakeholders who wish to make a complaint on the key principles and concepts of our Complaint Management System.

4. POLICY STATEMENT AND SCOPE

4.1 POLICY STATEMENT

In implementing an effective Complaints Management System (CMS), the University will be guided by the following policy statements:

- 4.1.1** The University is committed to the implementation of an effective complaints management system.
- 4.1.2** The University shall be open to customer feedback and be committed to seeking appropriate resolution of complaints and addressing policy and process inadequacies identified in the process of managing complaints. The University shall ensure that information about how and where to complain is visible and well publicized through a variety of channels and service delivery points including publications, emails, notice boards, websites and at front offices.
- 4.1.3** The University shall ensure that it has an exemplary complaint handling system that is accessible to members of the public including persons with disability and people from culturally and linguistically diverse backgrounds who may require additional assistance.
- 4.1.4** The University shall ensure that complaints are responded to promptly and that they are handled objectively, fairly and with utmost confidentiality. The University shall ensure that it has established a system for analysis and review of complaints and remedies provided where complaints are persistent or upheld.
- 4.1.5** The University shall ensure that it is responsive to stakeholder complaints. It shall ensure that complaints are acknowledged in a timely manner, addressed promptly and according to the order of urgency and that the complainant is kept informed throughout the process and appraised of the outcome of the complaint.
- 4.1.6** The University shall ensure that its complaint handling officers deal with all complaints in an equitable, objective and unbiased manner and declare any conflicts of interest where applicable.
- 4.1.7** The University shall develop and continually review its citizen's service delivery charter with the aim of improving service delivery, providing effective

services and resolving customer complaints for both internal and external stakeholders.

4.1.8 The University shall develop and implement a complaints handling procedure to guide with the receipt, investigation and resolution of complaints from its stakeholders. The University shall identify root cause(s) of all complaints and implement necessary corrective actions to prevent their recurrence as enshrined in the University Quality Management System (QMS).

4.1.9 The University shall promote a culture that values complaints and their effective resolution and ensure that this culture permeates throughout the University fraternity

4.1.10 The University shall accept anonymous complaints and will carry out investigation of the issues raised where there is enough information provided.

4.2 SCOPE

This policy applies to all public complaints received from Commission on Administrative Justice (CAJ) or directly within the University, from the internal and external stakeholders, at all its Colleges and Units, regarding all University products and services, and all staff receiving, handling or resolving complaints.

5. GUIDING PRINCIPLES

The development of this policy is guided by the following principles of complaints management:

5.1 Customer Focus: The University is committed to seeking and receiving feedback and complaints about its services, systems, practices, procedures, products and complaint handling from its customers.

5.2 Responsiveness: The University is committed to managing people's expectations and will acknowledge receipt of complaints and assess and prioritize them in accordance with the urgency and/or seriousness of the issues raised

5.3 Flexibility and Effectiveness: The University shall address complaints promptly and with as little formality as possible. It will adopt flexible approaches to service delivery and problem solving to enhance accessibility for people making complaints and/or their representatives

5.4 Objectivity and Fairness: The University will address each complaint with integrity and in an equitable, objective and unbiased manner.

5.5 Confidentiality: The University will protect the identity of people making complaints where this is practical and appropriate and that personal information that identifies individuals will only be disclosed or used as permitted under the relevant privacy laws, rules and obligations.

6. COMMITMENT

The University is committed to establishing and implementing an effective and customer-focused complaints handling management system. This commitment will be realized by enabling all stakeholders to express their pleasure or dissatisfaction with the University's services through appropriate channels. The complaint handling mechanisms shall be sensitive to the plight of all stakeholders, transparent, accessible and supported by the University management.

7. GUIDELINES AND PROCEDURES

7.1 GUIDELINES

In order to achieve the objectives of the Complaint Management System, the University shall:

- 7.1.1 Establish complaints handling and management infrastructure
- 7.1.2 Develop and display complaints handling policy and procedure within the various Colleges and Units
- 7.1.3 Appoint complaints handling committee members in the various Colleges and Units in Central Administration
- 7.1.4 Develop and implement citizens service delivery charters and ensure that the charter has provisions for internal and external redress mechanisms
- 7.1.5 Conduct capacity building for top management, complaint-handling officers and other staff members
- 7.1.6 Create awareness on the existence of complaints handling system using all possible communication channels
- 7.1.7 Ensure that all complaint received are resolved

7.2 PROCEDURES

The handling of customer complaints shall be conducted in accordance with the University QMS Procedure for Monitoring Customer Satisfaction (UON/OP/66).

8. IMPLEMENTATION AND RESPONSIBILITY

- 8.1 The Vice Chancellor shall have the overall responsibility of the implementation of this policy.
- 8.2 Heads of Units shall ensure customer complaints are captured, analyzed and resolved.
- 8.3 The policy shall be implemented in accordance with the following:
 - 8.3.1 Access to Information Act No. 31 of 2016
 - 8.3.2 The CAJ Reporting Framework on Resolution of Public Complaints
 - 8.3.3 Relevant QMS procedures

9. COMPLIMENTARY POLICIES

The Complaints Management Policy shall operate within the relevant legal and regulatory frameworks and guidelines. The policy shall also be read and applied in conjunction with University policies and guidelines which are deemed to be complimentary.

9.1 REFERENCES

- 9.1.1 Constitution of Kenya, 2010
- 9.1.2 Fair Administrative Action Act
- 9.1.3 Kenya Information and Communications Act
- 9.1.4 Access to Information Act No. 31 of 2016
- 9.1.5 University of Nairobi Quality Management System (QMS)
- 9.1.6 University of Nairobi Services Delivery Charter

9.2 COMPLIMENTARY POLICIES

- 9.2.1 University of Nairobi Communications Policy
- 9.2.2 University of Nairobi Anti-Corruption Policy
- 9.2.3 University of Nairobi Disability Policy

9.2.4 University of Nairobi Gender Mainstreaming Policy

10. COMMUNICATION AND DISSEMINATION

- 10.1 This policy shall be communicated in line with the University Communications Policy
- 10.2 All staff shall be regularly trained and sensitised on this policy, guidelines and regulations
- 10.3 This policy, guidelines and regulations shall be published in the University Intranet

11. MONITORING AND EVALUATION

The policy shall be monitored regularly and evaluated periodically for continued applicability, effectiveness and relevance.

12. REVIEW

The Complaints Management Policy shall be reviewed every three years or whenever necessary to ensure continued applicability, effectiveness and relevance. Any shortcomings shall be addressed by the Resolution of Public Complaints Central.