



KISII NATIONAL POLYTECHNIC

COMPLAINT MANAGEMENT POLICY

KNP/CMP/12
First Edition 2020

CONTROLLED

100



KISII NATIONAL POLYTECHNIC

COMPLAINT MANAGEMENT POLICY

Policy No.

KNP/CMP/12

Principal's Signature

Date

6/5/2021

**Approval by Governing
Council**

Chairman's Signature

Date

6/5/2021

Responsible Office

COMPLAINTS
MANAGEMENT OFFICE

Table of Contents

FOREWARD.....	v
1.0 INTRODUCTION.....	vi
1.1 Historical Background.....	vi
1.2 Vision, Mission and Core Values.....	7
1.3 PURPOSE OF THE POLICY	8
1.4 SCOPE OF APPLICATION	8
1.5 KEY TERMS/DEFINITIONS.....	8
2.0 COMPLAINTS MANAGEMENT FRAMEWORK.....	10
2.1 Types of Complaints.....	10
2.2 Guiding Principles	11
2.3 STAGES OF HANDLING COMPLAINTS	11
2.4 Time Frames.....	12
3.0 ROLES AND RESPONSIBILITY	12
3.1 Public Complaints Committee.....	12
3.2 Top Management.....	13
3.3 Heads of Departments	13
4.0 COMPLAINTS MANAGEMENT.....	14
4.1 Lodging of complaints.....	14
4.2 Complaint handling procedure	14
5.0.....	14
6.0 REPORTING.....	15
7.0 TRAINING AND SENSITIZATION	15
7.1 BENEFITS OF EFFECTIVE HANDLING OF COMPLAINTS.....	15
7.2 THE COST OF POOR SERVICE DELIVERY	16
8.0 CAUSES OF COMPLAINTS	16
9.0 POLICY REVIEW	16
APPENDIX I.....	17
COMPLAINTS REGISTER TEMPLATE.....	17

APPENDIX II.....	18
MONITORING AND EVALUATION TEMPLATE (ANALYSIS).....	18
APPENDIX III	19
STAGES OF THE COMPLAINTS MANAGEMENT PROCESS.....	19
APPENDIX IV	20
ROOT CAUSE ANALYSIS TEMPLATE.....	20
APPENDIX V	21
COMPLAINTS LODGING FORM.....	21

FOREWARD

The Kisii National Polytechnic is a State Corporation registered in 1972 under the Education Act CAP 212 of the Laws of Kenya with the objective of providing technical education and training.

KNP draws on public resources and must be transparent and accountable in its utilization of these resources. This complaint management policy has been developed in recognition of the need for a single, documented reference guide for KNP officers in their day to day work; as well as being a source of information for other stakeholders.

This policy is a key reference guide for the practices, policies and procedures used in administration of complaints in KNP. The policy provides a standardized and official document for all KNP staff and officers on complaints management. It will form an invaluable guide to our staff as they go about their day to day duties as well as providing guidance and information to other KNP Departments in understanding the complaints management policies and procedures. Additionally, the interaction of roles and responsibilities across the complaint management functions will be well understood as documentation of end to end processes now exist.

This policy will provide a guide that ensures uniformity and standardization in the way issues are approached across the whole of KNP.

Prof. Kisilu Kitainge

Chairman Governing Council

1.0 INTRODUCTION

1.1 Historical Background

Kisii National Polytechnic was founded in 1971 as a Harambee Institute of Technology. It was registered in 1972 under the Education Act, CAP 212 of the laws of Kenya with the objective of providing technical education and training for youths. It was moved from St. Vincent Centre where it was initially housed, to the current site in 1980. The first buildings to be put up were Woodwork Technology and Mechanical Engineering workshops, Typing Pool, Hostels, Kitchen and Dining hall. The curriculum then was Secretarial and Building technology. The institute was elevated to a national polytechnic in May 2016 through Legal notice No. 93. Since then more courses have been introduced and currently Kisii National Polytechnic offers more than eighty-eight (88) courses in Certificate and Diploma levels.

Science and Technology (S&T) activities have been recognized in the institution since its inception as vital to social and economic development. There has been rapid expansion of Science and Technology since the enactment of Science and Technology Act CAP 250 of the laws of Kenya (1977).

The college is managed by the Governing council and college administration comprising of the Principal, Deputy Principals, the Registrar, the Dean of Students, Heads of Departments and their Deputies. Day to day learning activities in the college is managed by the Departments.

1.2 Vision, Mission and Core Values

1. Vision

“To be the preferred training institution for technical and vocational skills development”

2. Mission

To develop highly qualified, globally competitive and innovative human resource by providing quality Training, applied Research & extension and Entrepreneurship skills that are responsive to market demands.

3. Core values

1. Professionalism and Excellence
2. Creativity and Innovativeness
3. Team work
4. Integrity
5. Accountability and Transparency

4. Mandate

The mandate of the polytechnic is to develop an institution with excellence in training, scholarship, entrepreneurship, research, consultancy, community service and products with emphasis on technology, its development, impact and application within and outside Kenya.

1.3 PURPOSE OF THE POLICY

The purpose of this policy is to provide guidance and direction as to the management of complaints within the Kisii National Polytechnic. The policy formalizes and communicates the Kisii National Polytechnic's approach on complaints management.

1.4 SCOPE OF APPLICATION

The policy applies to complaints that fall within the Kisii National Polytechnic's mandate. The different roles and responsibilities of the governing council and KNP staff and other stakeholders is defined in part four (4) of this document.

1.5 KEY TERMS/DEFINITIONS

Complainant: A person, group of persons, organization or institution making a complaint within the meaning of this framework.

Complaint channel: A medium through which a complaint is transmitted to its intended audience or organization.

Complaint issue: The subject issue of the complaint e.g. delays, inefficiency, abuse of power among others.

Complaint handling procedures: The steps a complaint goes through in KNP from receipt to the day it is actually resolved.

Action taken: The intervention measure (s) taken by KNP to resolve a complaint, process a request for access to information and implement the decision and recommendation of the commission.

Corrective action: The improvement to KNP's process 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.

Access to information officer: Any officer of KNP designated under Section Seven as such for implementation of the access to information Act in KNP

Information: Includes all records held by KNP regardless of the form in which it is stored, its source or the date of production.

New complaint: A situation whereby a complaint has been received less than 30 days to the reporting period and no action has been initiated on it.

On-going: A situation whereby a complaint resolution or a request for access to information process has commenced but has not been finalized.

Public records: Includes any record in written or any other form containing information relating to the conduct of the KNP's business, prepared, owned, used or retained by KNP regardless of physical form or characteristics.

Request: An application seeking access to information held by KNP.

Resolved: A situation whereby KNP has provided sufficient information, a remedy or solution to the satisfaction of the complainant, or where the complainant remains dissatisfied, KNP has taken the complainant through due process and made a just decision to the satisfaction of the commission.

Root cause: Refers to the primary cause(s) of the complaint.

Sanctions: Penalties or deterrent measures taken against KNP to enforce adherence to this framework.

Access to information register: A register kept by a public institution where entries of requests and determinations (decisions) on access to information are kept.

Applicant/requester: Person who has requested for access to information from KNP

PCs: Public Complaints

ADR: Alternative Dispute Resolution

TVET-Technical and Vocational Education and Training

2.0 COMPLAINTS MANAGEMENT FRAMEWORK

This framework shows the different process for managing complaints at the Kisii National Polytechnic.

2.1 Types of Complaints

There are three categories of complaint;

- **Major complaints:** These are complaints that involve senior administration officers. They require deeper analysis and more time to resolve, because they involve investigation and establishing enough evidence. Usually many parties are involved in determination of the complaints and some may maintain hard lines e.g. abuse of power and misbehavior, incompetence, administrative injustice. Resolution period varies depending on the nature of the complaint at most three (3) months.
- **Moderate complaints:** These are complaints that can be resolved on the spot and takes more time than minor complaint to resolve (at most 2 days).
- **Minor complaints:** These are complaints that are resolved on the spot and take a short time (at most 24 hours).

NB: If not resolved quickly minor complaints may escalate into moderate and finally become major.

2.2 Guiding Principles

The office of the ombudsman at KNP implements its mandate in line with the following principles;

- i. Integrity
- ii. Confidentiality
- iii. Accountability
- iv. Openness and transparency
- v. Neutrality and impartiality
- vi. Informality
- vii. Team work

2.3 STAGES OF HANDLING COMPLAINTS

There are two stages of handling complaints;

Stage 1: Frontline resolution

Stage 2: Investigation

Stage 1: frontline resolution

- i. Complaint received and acknowledged.
- ii. Complaint resolved on the spot and to the customer's satisfaction.
- iii. Feedback on decision made within five (5) working days.
- iv. If customer not satisfied the complaint is moved to stage 2

Stage 2: investigation

- i. The complaint committee investigates whether the complaint is still dissatisfied after the communication of decision arrived at in stage 1.
- ii. The committee investigates and determines whether the complaint is complex or the complaint needs further investigation.
- iii. Acknowledgement is sent to complainant within 3 working days and decision made communicated within 30 days.
- iv. Establish whether the complainant is satisfied with the decision and the way the complaint is handled. If yes, complaint is closed and outcome recorded. If no, the customer is referred to Ombudsman branch or headquarter office.

2.4 Time Frames

TYPE OF COMPLAINT	TIMELINE TO RESOLVE
Minor complaints	- Less than 24 hours
Moderate complaints	- Less than 48 hours
Major complaint	- Between 1 week to 3 months

3.0 ROLES AND RESPONSIBILITY

Managing complaints is the responsibility of all Kisii National Polytechnic staff who work towards a common goal of ensuring that the KNP objectives are achieved.

3.1 Public Complaints Committee

The committee shall ensure implementation of complaints management policy by:

- i. Receiving of complaints from complainants.
- ii. Establishment of evidence on the nature of complaint.
- iii. Identification of complaint's details
- iv. Creating of awareness to all the clients' e.g students, staff both teaching and non-teaching.
- v. Working with different departmental officers to promote alternative dispute resolution methods in the resolution of complaints relating to clients.
- vi. Promoting right of access to information in the institution.
- vii. Ensuring all complaints received are resolved
- viii. Implementing decisions and recommendations of the commission (CAJ).
- ix. Acknowledging and forwarding complaints to relevant authority.
- x. Probing complaint.
- xi. Keeping documents in lockable cabinets and personal integrity.
- xii. Giving feedback to complainant.

3.2 Top Management

The Council through the Principal shall ensure: -

- i. Establishment of complaints management and access to information infrastructure.
- ii. Facilitation of capacity building of Public Complaints and Access to Information committee members.
- iii. Appointment of complaints and access to information committee

3.3 Heads of Departments

The Heads of Departments should:-

- i. Liaise with PCs committee to resolve, complaints through ADR approach.
- ii. Provide relevant information during investigation by Public Complaints and access to information committee.
- iii. Provide feedback to complaint through the Public Complaints and access to information committee office.
- iv. Ensure there's proper management of records of students' and staff data and performance to facilitate establishment of evidence during investigation.
- v. Uphold integrity, discipline, team work and professionalism as they discharge their duties to ensure customer satisfaction in service delivery.
- vi. Understand and sensitize departmental staff and students that public complaints and access to information committee come as a last option after exhausting all other complaint handling procedures in the institution.
- vii. Demonstrate social fairness and respect of cultural and religious diversity.

3.4 Complainants

For the complainant to be served better, he/she should;

- i. Be honest and open.
- ii. Provide PCs officer with copies of all document related to the complaint.
- iii. Be respectful and courteous.

- iv. Provide PCs committee with feedback on the quality, effectiveness and efficiency of service.
- v. Be obligated to preserve the information shared with PCs officer(s)

4.0 COMPLAINTS MANAGEMENT

4.1 Lodging of complaints

Complaints can be lodged through the following modes;

- i. In person
- ii. Online via email: *publiccomplaints@kisiipoly.ac.ke*
- iii. In writing
- iv. Telephone – 0724130674 / 0727341903
- v. Suggestion box which shall be opened fortnightly.

4.2 Complaint handling procedure

Complaints once received shall be recorded and then processed as outlined in

Appendix III (Page 14)

5.0 IMPLEMENTATION OF THE POLICY

The Governing Council, management staff, students, parents, suppliers, contractors and other stakeholders shall read, understand and be committed to the principles and values of our college mandate, vision, mission, core values, objectives, policies, procedures, rules and regulations to ensure that services are delivered in accordance to the constitution, national laws, regulations and policies.

The implementation of this policy shall be done with reference to the Constitution of Kenya 2010, relevant laws and related KNP policies:-

- i. The Constitution of Kenya 2010
- ii. Fair Administrative Act
- iii. Acts of Parliament
- iv. CAJ Act
- v. Ministry of Education current performance contract terms
- vi. Leadership & Integrity Act (Chapter six of the 2010 Constitution of Kenya)

- vii. Public Officer Ethics Act 2003
- viii. TVET Act
- ix. TSC code of regulations
- x. The anti-corruption and economic crimes act, 2003 cap.65
- xi. ISO 9001:2015 quality management procedures
- xii. Public procurement & disposal act, 2015
- xiii. Government Financial management act, 2004
- xiv. The KNP policy statement
- xv. The KNP code of conduct, rules and regulation and service charters
- xvi. Academic, environmental, sexual abuse, health & safety, corruption and prevention gender and disability mainstreaming policies
- xvii. KNP complaint procedures

6.0 REPORTING

The KNP Ombudsman office shall be:-

- i. Reporting to the Principal and management review meetings
- ii. Compiling and submitting quarterly returns to the Commission of Administrative Justice according to the commission's provided reporting framework

7.0 TRAINING AND SENSITIZATION

Training and sensitization of staff and students on the benefits of effective handling of complaints should be done quarterly to avoid the cost of poor handling.

7.1 BENEFITS OF EFFECTIVE HANDLING OF COMPLAINTS

Effective complaints handling is a crucial part of quality service delivery in any institution. Complaints help institutions to identify weak areas and create the motivation for continuous improvement. Handling of complaints provides an opportunity for the organization to understand its customers and ensure that the issues they raise are quickly resolved. Proper handling of complaints improves the reputation and image of the institution.

7.2 THE COST OF POOR SERVICE DELIVERY

Poor complaint handling leads to customer dissatisfaction that can dearly cost the institution in terms of: Quality of service rendered, poor reputation, high cost of operation, staff retention, loss of revenue, loss of customers and customer loyalty, poor growth and development.

8.0 CAUSES OF COMPLAINTS

The following are some of the causes of complaints that may lead to poor service delivery:-

- i. Inappropriate policies, laws and regulations
- ii. Complex procedures, processes and routine
- iii. Ignorance of the law, incorrect interpretation or application of the law
- iv. Lack of awareness about the applicable procedures and requirements of vital documents
- v. Weak and ineffective complaints handling mechanisms
- vi. Inaccessibility of the officers and absenteeism
- vii. Corruption and impunity
- viii. Poor management of records

9.0 POLICY REVIEW

The complaints management policy shall be reviewed after every 5 years.

APPENDIX I

COMPLAINTS REGISTER TEMPLATE

NO	DATE RECEIVED	NAMEOF THE COMPLAINANT	COMPLAINT ISSUE	COMPLAIN T CHANNEL	DATE ACKNOWLEDGED	ACTION TAKEN	COMPLAINT STATUS

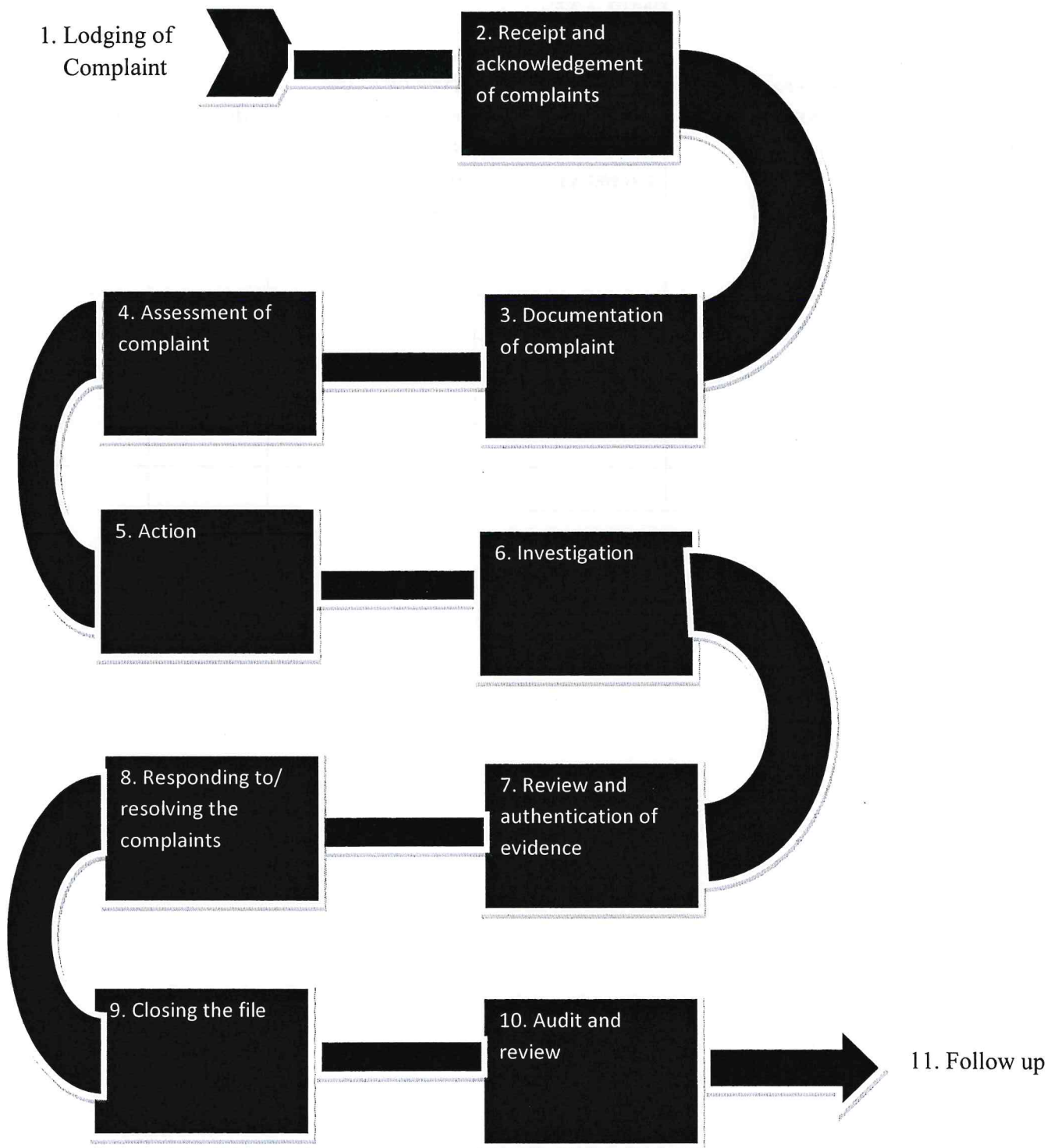
APPENDIX II

MONITORING AND EVALUATION TEMPLATE (ANALYSIS)

NO. OF COMPLAIN TS RECEIVED	MODE OF COMPLAIN T LODGED	NO. OF COMPLAIN TS RESOLVED	NO. OF COMPLAIN TS PENDING	DURATION TAKEN TO RESOLVE E.G SPOT RESOLUTIO N, 1 DAY, 14 DAYS, 1 MONTH, QUARTERL Y	RECOMMENDATIO NS

APPENDIX III

STAGES OF THE COMPLAINTS MANAGEMENT PROCESS



(Adopted from CAJ reporting framework 2017/2018)

APPENDIX IV

ROOT CAUSE ANALYSIS TEMPLATE

COMPLAINT E.G NON- ISSUANCE OF ID	OFFICER/DEPARTMENT COMPLAINED AGAINST	NATURE OF COMPLAINANT/ SERVICE ISSUE, E.G DELAY	TYPE OF CAUSE- PHYSICAL (E.G SYSTEM FAILURE), HUMAN (E.G POLICIES, PRODECURES, REGULATION)	REMEDY GRANTED	CORRECTIVE/ PREVENTIVE ACTION TO BE TAKEN

APPENDIX V

COMPLAINTS LODGING FORM

Ref. No _____

Complaint's details (all information given is voluntary)

Name (Dr./Mr./Mrs./Ms.) _____

ID Number: _____

Postal address: _____

Mobile: _____

Email: _____

County: _____

Age: _____

