

**STANDARD OPERATING PROCEDURE (SOP)
FOR
COMPLAINT MANAGEMENT**

Dzongkhag Administration, Gasa

January 2023

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PREAMBLE

Effective and efficient public service delivery is one of the key mandates of the Gasa Dzongkhag. Thus, it is imperative for us to give our end users the opportunity to express their dissatisfaction. Inter-alia, complaint management is one important instrument that enables an organization to gather valuable insights from its clients on how to enhance its services.

Consequently, the Gasa Dzongkhag administration has developed this Standard Operating Procedure (SOP) with the sole objective to facilitate the administration in managing individual complaints related to service delivery and identifying opportunities to make systemic improvements. Further, it is developed in line with the requirement of Dzongkhag's Organizational Integrity Plan (OIP) for the FY 2022-2023.

I hope this SOP will be a valuable tool and guide the management in managing the complaints in the most efficient and effective manner.

Tashi Delek

A handwritten signature in black ink, appearing to read 'Tashi Delek' or similar, written in a cursive style.

(Tenzin Chopel)

Dzongda

ABBREVIATION:

OIP: Organizational Integrity Plan

SOP: Standard Operating Procedure

PoSC: Point of Service Complaint

SCMP: Structured Complaint Management Process

CSC: Client Service Coordinator

CMT: Complaint Management Team

CRB: Complaint Review Board

CIT: Complaint Investigation Team

ACC: Anti-Corruption Commission

CMS: Complaint Management System

1.0 Purpose

- 1.1 This Standard Operating Procedure (SOP) describes how complaints received are to be resolved.

2.0 Title

- 2.1 This SOP shall be called "*Complaint Management Standard Operating Procedure*".

3.0 Scope

- 3.1 This SOP covers the management of complaints received from both external and internal stakeholders against services rendered by the Gasa Dzongkhag Administration.
- 3.2 The SOP shall come into effect from 1st January 2023

4.0 Definition

- 4.1 Unless the contents are repugnant to the context, the following words and phrases shall be understood as defined hereunder:
 1. **Complaint:** A complaint is an expression of protest, grievance, objection, discontent, or dissatisfaction made by a complainant against a service-providing agency or any agent thereof regarding a quality of product or service rendered by the agency.
 2. **Complainant:** A complainant is an individual or a person who makes a complaint to service providing agency or agent thereof.
 3. **Client:** A person who avails services from a service-providing agency or any agent thereof.
 4. **Complaint Management:** Complaint Management is the process by which an organization receives, handles, manages, responds to, and reports on client complaints.
 5. **Service Recovery:** Service Recovery is the systematic approach to proactively solicit client feedback while responding to complaints in a manner that creates loyalty. It also involves utilizing information to make procedural and process improvements in an effort to win back client goodwill, once it has been lost due

to a service failure.

6. **Root Cause Analysis:** A method used to identify the underlying or systemic causes of a complaint and to recommend actions to prevent a similar occurrence.
7. **Point of Service Complaint:** A place where a problem occurred originally due to poor-quality service or bad client services.
8. **External Stakeholders:** External Stakeholders are those who do not directly work with the Dzongkhag administration but are affected somehow by the actions and outcomes of the administration. A few examples are clients or customers, suppliers, contractors, regional offices, and the wider community.
9. **Internal Stakeholders:** They are the people who work in the Dzongkhag administration.

5.0 Authority for Interpretation and Amendment

- 5.1 The authority to interpret and amend the SOP shall rest with the Dzongkhag Human Resource Officer, who shall act as the Client Service Coordinator (CSC).

6.0 Framework for Complaint Management

- 6.1 The complaints shall be managed under one of the following procedures:
 - a. At the Point of Service Complaint (PoSC).
 - b. Through the Structured Complaint Management Process (SCMP).

7.1.1 Point of Service Complaints

- 7.1.1.1 Ideally, most complaints shall be dealt with directly and quickly at the point at which the problem arises. Escalation of complaints shall be avoided where staff or sector have clear authorization to resolve complaints at first contact.
- 7.1.1.2 If the complaints cannot resolve at the points of service, the matter shall be referred to the Client Service Coordinator (CSC), who shall deal with the matter as per the Structured Complaint Management Process.

7.1.2 Structured Complaint Management Process

- 7.1.2.1 The structured complaint management process shall include:
 - i. Client Service Coordinator (CSC)

- ii. Complaint Management Team (CMT)
- iii. Complaint Review Board (CRB)

7.1.2.1.1 Client Service Coordinator (CSC)

7.1.2.1.1.1 The Human Resource Officer, who shall act as the Client Service Coordinator, is responsible for:

- a. Receiving and recording complaints.
- b. Determining solutions to complaints.
- c. Determining the need for escalating the complaint to the CMT.
- d. Participating in an investigation.
- e. Documenting and maintaining a record of action taken reports.
- f. Developing Complaint Management System (CMS).
- g. Ensuring all follow-ups on pending complaints.
- h. Ensuring that complaints have been resolved in a timely manner.
- i. Communicating the results of the complaint.
- j. Protecting the identity of a complainant.
- k. Closing complaints that have been actioned.
- l. Ensuring that the Complaint Management Standard Operating Procedure is documented and received approval.
- m. Reviewing the SOP periodically to ensure effectiveness and continued relevance.

7.1.2.2 Complaint Management Team (CMT)

7.1.2.2.1 The Dzongrab, who shall act as the head of the Complaint Management Team, is responsible for:

- i. Instituting Complaint Management Team.
- ii. Reviewing the complaints referred by the CSC.
- iii. Determining whether complaints require review by CRB.
- iv. Resolving complaints in a timely manner.
- v. Seeking approval for complaint resolutions from CRB
- vi. Determining the need for an independent investigation.
- vii. Identifying a dedicated investigation team.

- viii. Reporting the investigation results to CRB.

Complaint Investigation Team (CIM)

The Complaint Investigation Team shall be responsible for:

- i. Conducting an investigation assigned by the CMT.
- ii. Submitting the investigation results to the CMT in a timely manner.
- iii. Determining the root causes of the complaints.
- iv. Issuing corrective measures for improvement.

7.1.2.3 Complaint Review Board

7.1.2.3.1 The Dzongda, who shall act as the head of the Complaint Review Board is responsible for:

- i. Reviewing the investigation reports submitted by the CMT.
- ii. Determining the disciplinary actions.
- iii. Determining restorative measures for improvement.
- iv. Determining communication with or reporting to external entities including Anti-Corruption Commission (ACC), if required.

7.2 Channels to Lodge Complaint

7.2.1 Complaints may be shared through any of the following channels:

- Direct contact with Client Service Coordinator (CSC): 02-688025
- e-mail to CSC at swangmo@gasa.gov.bt
- Walk-in
- Register online

7.3 Escalation of Complaint

7.3.1 A complaint shall be escalated under any of the following circumstances:

- i. If it remained unresolved at the PoSC.
- ii. If it cannot resolve by the CSC.
- iii. If it requires review by the CMT.

iv. If it requires review by the CRB.

7.3.2 The general escalation process shall be as follows:



7.0 Making a Complaint

8.1 Complaints can be made verbally or in writing. The complaints shall include the following information:

1. Name & Address
2. Telephone/email
3. Complaint date
4. Details of complaint
5. Evidence

8.2 Receiving Complaints

8.2.1 Complaints may be received from an internal or external source in the form of verbal or written feedback. Verbal feedback may be received in person or via telephone conversation. Written complaints may be received in the form of letters, e-mails, etc.

8.2.2 A complaint may also receive through social media and print media. Any complaint shared through such sources shall be dealt with by the CSC.

8.2.3 Any complaint shared by external regulatory bodies or received from whistleblowers shall be directly referred to the CMT for investigation.

8.2.4 Staff at all levels can accept complaints and shall ascertain what action they can

take to resolve them or refer to the responsible service provider or individual for assistance.

8.2.5 In the event of a repeated complaint against the same sector or individual staff, it shall be directly dealt with by the SCMP.

8.3 Registering and Acknowledging Complaints

8.3.1 As soon as a complaint is received, individual staff or sector shall:

1. Calmly acknowledge the client's concerns and provide an explanation of the possible contributing factors.
2. Offer a sincere apology without speculating or attributing blame to the organization/sector/or units.
3. Refer or register the complaint with the CSC.
4. Advise the complainant of the expected resolution time and that they shall be informed of the resolution of the complaint.

8.4 Complaint Resolution-Final Response

8.4.1 Once the complaint has been investigated and resolved, the CSC shall close the complaint and update it in the CMS with appropriate resolution comments.

8.4.2 The CSC shall notify the complainant in a form of a letter signed by the head of the CRB.

8.5 Service Recovery

8.5.1 Service Recovery is a four-stage process that:

- Identifies failed service expectations
- Resolves service problems
- Identifies root-cause
- Uses data for continuous improvement

8.5.2 The CSC in collaboration with the responsible sector or individual person shall initiate the Service Recovery.

9.0 Timeframe for resolving Complaints

- 9.0 Complaints shall be resolved within (5-7) working days.
- 9.1 Where a complaint cannot be resolved within the stipulated time, the client shall be notified two (2) working days before the breach of the given time frame in writing or by calling.

10. SOP Review

- 10.1 The SOP shall be reviewed at least once in two (2) years to assess its effectiveness and continued relevance.

Appendix 1:

Steps in the Complaint Management Process


