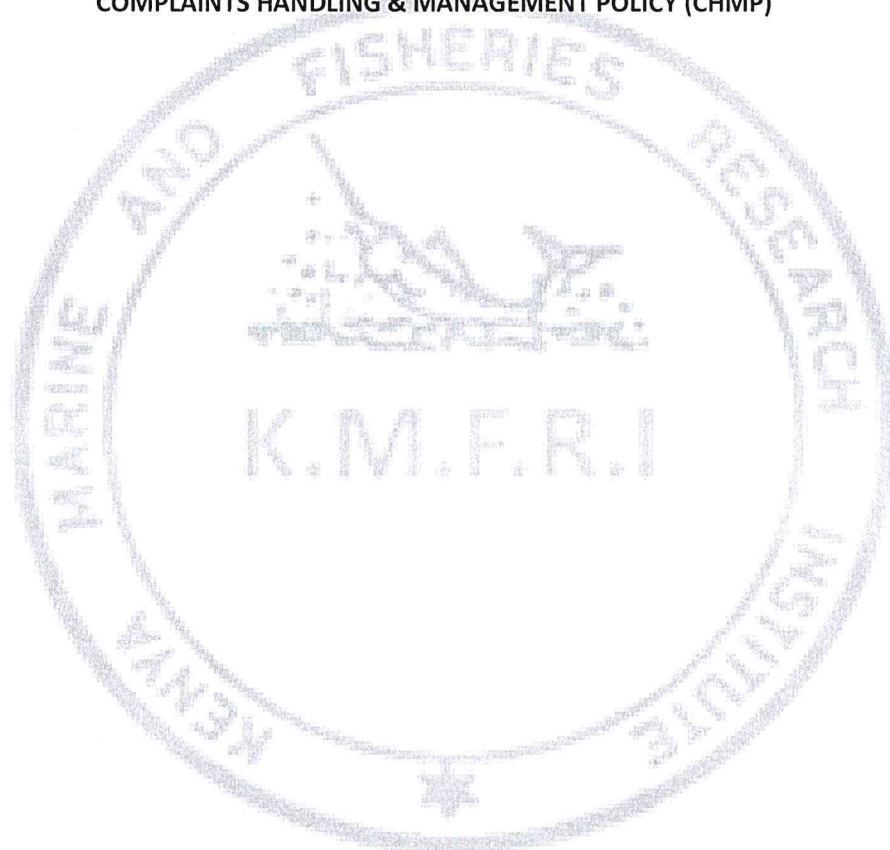




KENYA MARINE AND FISHERIES RESEARCH INSTITUTE (KMFRI)

COMPLAINTS HANDLING & MANAGEMENT POLICY (CHMP)



2019

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Table of Contents

FOREWORD.....	ii
MANDATE OF THE INSTITUTE.....	iii
VISION.....	iii
MISSION.....	iii
CORE VALUES.....	iii
IDENTITY STATEMENT.....	iii
DEFINITIONS OF TERMS.....	iv
ACRONYMS AND ABBREVIATIONS.....	v
Introduction.....	1
Policy statement.....	1
Objective of the policy.....	1
Scope.....	1
Organisational commitment.....	2
Complaints Handling Principles.....	3
Confidentiality.....	3
Objectivity and fairness.....	3
No charge.....	3
Complaints handling process and management.....	3
i. Lodging complaints.....	3
ii. Acknowledgement of complaint.....	4
iii. First contact resolution.....	4
iv. Investigation:.....	4
v. Response.....	5
vi. Internal review.....	5
vii. Access to external review.....	5
viii. Closing the complaint, record keeping, redress and review.....	5
Funding.....	2
Policy Review.....	2

FOREWORD

Kenya Marine and Fisheries Research Institute (KMFRI) aims to meet and exceed customers' expectations at all times. KMFRI also acknowledges that dispute could arise in the course of serving our customers which may need to be resolved. In such a case, Complaints Handling & Management Policy (CHMP) offers a guide on how to institute and resolve a complaint.

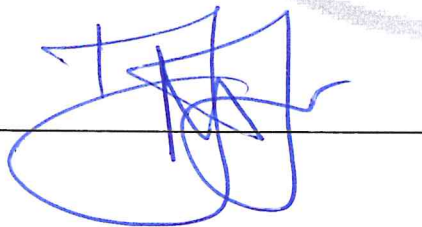
KMFRI believes that effective complaints handling is a crucial part of quality service delivery and that complaints is a way for KMFRI to identify weak areas and create the motivation for continual improvement. KMFRI therefore, invite such queries, complaints, feedback and commit to prompt and objective resolution of issues raised. Further, KMFRI is committed to sharing feedback to the complainant of action taken and to other interested stakeholders.

This Policy is guided by the Commission on Administrative Justice Act, 2011 and the Access to Information Act, 2016. The policy provides a framework on how to receive, register, and document all complaints against any concerned party. Through this Policy, KMFRI Management will strive to safeguard the atmosphere that permits any aggrieved party to effectively lodge a complaint and receive appropriate redress.

KMFRI Public Complaints Committee (PCC) will play an oversight role in the implementation, monitoring and review of the Complaints Handling & Management Policy (CHMP). The committee is authorized to inquire into and recommend appropriate Administrative and Legal recourse.

This policy applies to all KMFRI employees and other interested parties, where this policy is in conflict with the laws of Kenya, then the laws will take precedence.

Dated this _____



Prof. James Njiru
DIRECTOR/CHIEF EXECUTIVE OFFICER

MANDATE

KMFRI's mandate is to undertake research in "marine and freshwater fisheries, aquaculture, environmental and ecological studies, and marine research including chemical and physical oceanography", in order to provide scientific data and information for sustainable development of the Blue Economy.

VISION

A Centre of Excellence in innovative research in marine, fisheries and the Blue Economy for development.

MISSION

- To generate and disseminate scientific information for sustainable development of the Blue Economy.

CORE VALUES

- Integrity
- Transparency and accountability
- Professionalism
- Team work
- Equity and equality

IDENTITY STATEMENT

Going an extra mile

DEFINITIONS OF TERMS

Complaint: Expression of dissatisfaction made to or about us, our products and services

A complaint covered by this Policy can be distinguished from:

- Staff grievances
- Code of conduct complaints
- Public interest disclosures/ Access to information
- Service requests, and
- Responses to requests for feedback about the standard of our service

Complainant: A person, group of persons or institution making a complaint

Complaint management system: All procedures and processes used by us to handle complaints.

Lodging: Making of a formal or official complaint to or about us, our products and services

Policy: A statement of instruction that sets out how we should fulfil our vision, mission and goals.

Procedure: A statement or instruction that sets out how our policies will be implemented and by whom.

Public interest disclosure: Is a requirement that government makes it public all the relevant facts while formulating important policies that may affect its citizens in accordance to the Access to Information Act of 2016

ACRONYMS AND ABBREVIATIONS

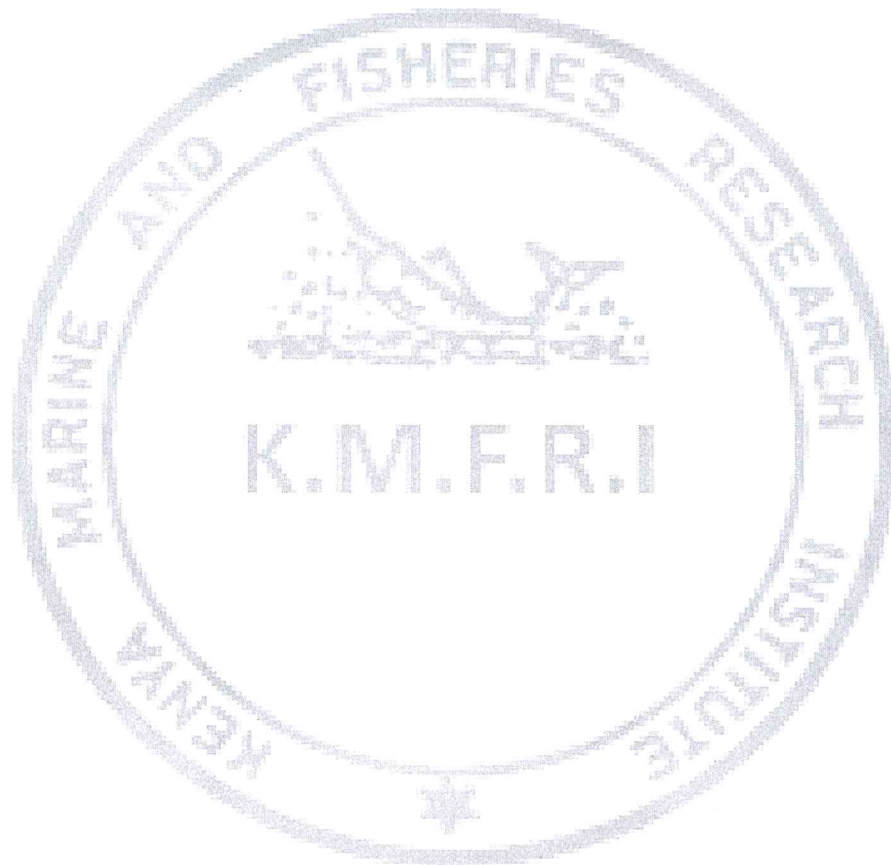
KMFRI: Kenya Marine and Fisheries Research

CAJ: Commission on Administration Justice “Office of the ombudsman”

CHMP: Complaints Handling & Management Policy

CLF: Complaint Lodging Form

PCC: Public Complaint Committee



Introduction

To provide excellent services and products, customer complaints need to be thoroughly assessed and addressed in any institution. Complaints are an important way for the management of any agency to be accountable to the people it serves as well as in providing valuable prompts to review agency performance and the conduct of people that work within and for it. A stronger complaints handling system maintains the goodwill of customers, improves the image of the agency and ensure agencies remain accountable to their weak areas and create the motivation for continual improvement

Policy statement

KMFRI is committed to promptly respond to our customer needs and concerns and stay objective in handling and resolving complaints in impartial and accountable manner as quickly as possible. This policy is intended to provide guideline for complainants and complaint recipients

Objective of the policy

The objective of this policy is to;

- i. Provide Awareness to the customers (internal & external) of the complaints handling procedures
- ii. Provide a platform for the institute to be accountable to both the internal and external customers
- iii. Provide a feedback mechanism that enables the institute to continuously improve its service to its customers
- iv. Foster a customer focused culture
- v. Guide the resolution of complaints from dissatisfied customers in an objectively and timely manner

Scope

This policy applies to all KMFRI employees, students on attachment, interns and external KMFRI customers.

Organisational commitment

KMFRI expects staff at all levels to be committed to fair, effective and efficient complaint handling. The following table outlines the nature of the commitment expected from staff and the way that commitment should be implemented.

Who	Commitment	How
KMFRI Director	<p>Establish the complaint management system</p> <p>Promote a culture that values complaints and their effective resolution</p>	<p>Report publicly on KMFRI's complaint handling system.</p> <p>Provide adequate support and direction to key staff responsible for handling complaints.</p> <p>Regularly review reports about complaint trends and issues arising from complaints.</p> <p>Encourage all staff to be alert to complaints and assist those responsible for handling complaints resolve them promptly.</p> <p>Support recommendations for product, service, staff and complaint handling improvements arising from the analysis of complaint data.</p>
KMFRI Public Complaints Committee (PCC)	Manage the complaints handling system	<p>Provide regular reports to KMFRI Director on issues arising from complaint handling work.</p> <p>Ensure recommendations arising out of complaint data analysis are discussed with KMFRI Director and implemented where appropriate.</p> <p>Encourage all staff to be alert to complaints and assist those responsible for handling complaints resolve them promptly.</p> <p>Train and empower staff on complaints handling procedure and management system.</p>
Staff/officer whose duties include complaint handling	Demonstrate exemplary complaint handling practices	<p>Treat all people with respect, including people who make complaints.</p> <p>Assist people make a complaint, if needed.</p> <p>Comply with this policy and its associated procedures.</p> <p>Keep informed about best practice in complaint handling.</p> <p>Provide feedback to Public Complaints Committee (PCC) on issues arising from complaints.</p> <p>Provide suggestions to PCC on ways to improve the organisation's complaints management system.</p>

All staff	Understand and comply with KMFRI's complaint handling policy.	<p>Treat all people with respect, including people who make complaints.</p> <p>Be aware of KMFRI's complaint handling policy and assist people who wish to make complaints access KMFRI's complaints process.</p> <p>Be alert to complaints and assist staff handling complaints resolve matters promptly.</p> <p>Provide feedback to management on issues arising from complaints.</p> <p>Implement changes arising from individual complaints and from the analysis and evaluation of complaint data as directed by management.</p>
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Complaints Handling Principles

Confidentiality

We will respect and protect the identity of people making complaints where this is practical and appropriate.

Personal information that identifies individuals will only be disclosed or used by KMFRI as permitted under the relevant privacy laws, secrecy provisions and any relevant confidentiality obligations.

Objectivity and fairness

We will address each complaint with integrity and in an equitable, objective and unbiased manner.

Conflicts of interests, whether actual or perceived, will be managed responsibly. In particular, internal reviews of how a complaint was managed will be conducted by a person other than the original decision maker.

No charge

No fee shall be charged to lodge a complaint under this policy.

Complaints handling process and management

i. Lodging complaints

The complainant will fill the Complaint Lodging Form CLF-01

Complainants who cannot read or write shall be assisted by Officer in charge of public complaints desk in filling the complaint form.

Anonymous complaints shall be accepted, provided that enough information (copies of any relevant documents for provision of further information or corroboration of the complaint) to enable Public Complaint Committee (PCC) to make further meaningful enquiries. Anonymous complaint that do not provide sufficient information to enable further action, shall be not pursued further.

The complaint can be channelled through;

Name of Channel	Description of the channel
Email:	public_complaints@kmfri.go.ke
Website:	https://www.kmfri.co.ke/index.php/about-us/contact-us
Telephone:	020-8021561
Postal Mail:	Kenya Marine and Fisheries Research Institute, Headquarter P.O. Box 81651-080100 Silos Road, English Point, Mkomani, Mombasa, KENYA
In person	Visit our offices and speak to the appropriate officer in charge of public complaints desk
In the Public Complaints Boxes	One may directly drop their complaint in the designated complaints boxes located within the institute

ii. Acknowledgement of complaint

We shall acknowledge receipt of each complaint within five (5) calendar days after receiving it. Consideration will be given to the most appropriate medium for communicating (e.g. email, letter) with the person making a complaint.

iii. First contact resolution

Officer in charge of public complaints desk receives the complaint, it will be documented and assessed to determine if it falls under the KMFRI mandate. If possible the complaint will be resolve immediately and decision provided to the complainant within five (5) calendar days.

If the officer in charge of public complaints desk is not able to resolve the complaint, he/she will refer it to the attention of PCC chairman within five (5) calendar days from day of receipt.

If the complaint does not fall within the KMFRI mandate, the KMFRI receiving officer shall assist the complainant know which agency/institute to lodge the complaint, location of that agency/institute and any other publicly available information e.g. contact details that may assist the complainant.

iv. Investigation:

PCC shall be provided with supporting documents presented by the complainant for his/her comments within fourteen (14) calendar days from the day the complaint is received.

Investigations shall commence in consultation with the relevant department to gather any additional

information required to conclude the investigation within sixty (60) calendar days from the date the complaint is received.

If a response and supporting documents is not received from the complainant after fourteen (14) calendar days, the PCC shall proceed to determine the complaint in the absence of the comments from the complainant within sixty (60) calendar days from the date the complaint is received.

v. Response

The complainant shall be notified of the findings and any actions taken by PCC chairman within sixty (60) calendar days from the date the complaint is received.

vi. Right of Appeal

If the complainant is aggrieved with the process or the outcome of the resolution, he/she can request for an appeal through Director KMFRI within fourteen (14) calendar days from the date the response is received.

In the appeal, the complainant shall state the steps he/she has taken to resolve the complaint and give justification for an internal review appeal.

Director KMFRI without prejudice shall approve (constitute an internal review committee) or disapprove after assessing the details of steps already undertaken by the complainant and the justification provided for the appeal within thirty (30) calendar days.

The Internal review committee shall review the complaint and provide the feedback to the complainant within thirty (30) calendar days from the day of appointment.

vii. Access to external review

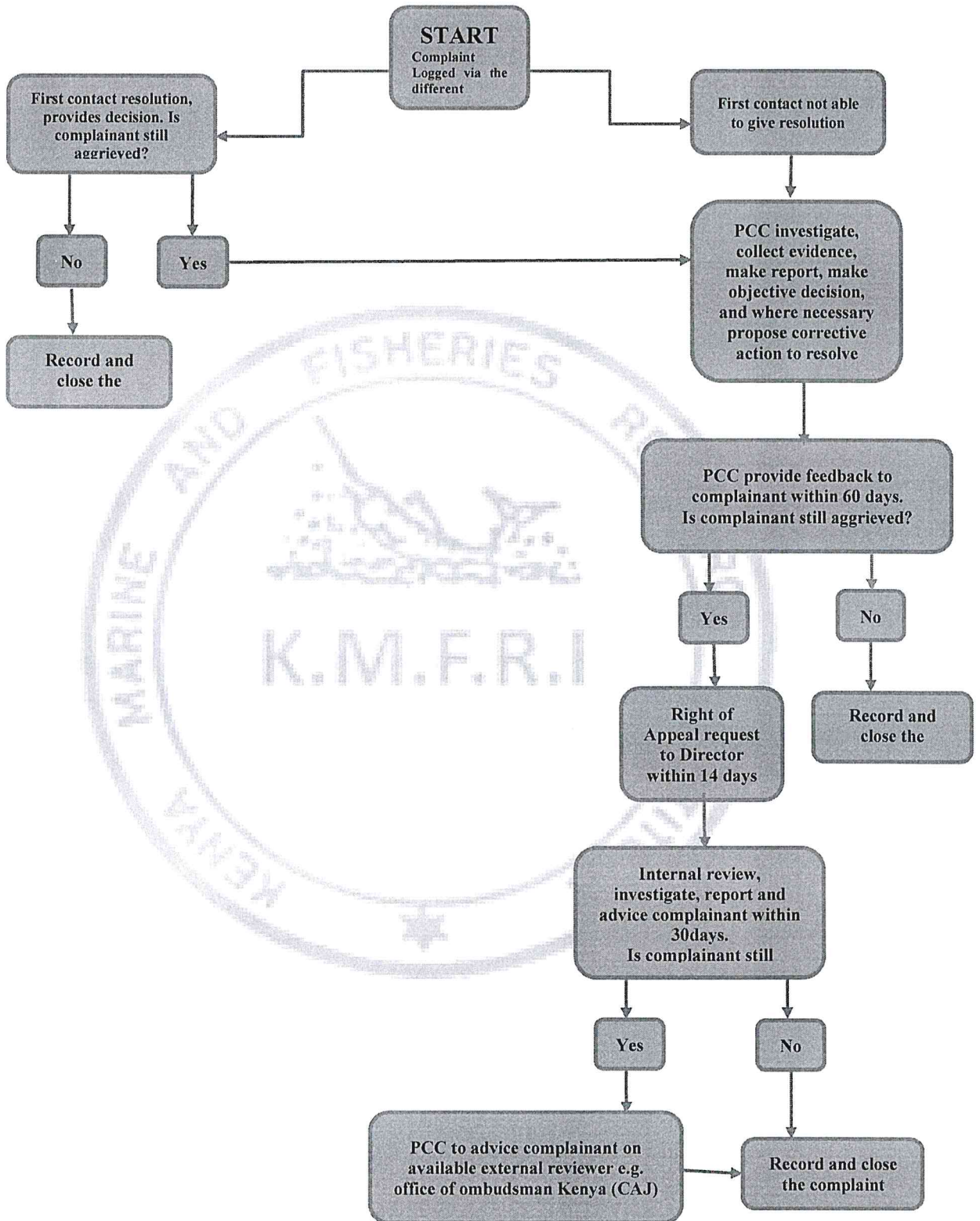
In the event the complainant is still aggrieved with the process or the outcome of the internal review, the PCC chairman shall inform him/her of available external review option e.g. Commission of Administrative Justice (CAJ) "Office of Ombudsman".

viii. Closing the complaint, record keeping, redress and review

We shall keep comprehensive records about:

- How a complaint was managed
- The outcome/s of the complaint (including whether it or any aspect of it was substantiated, any recommendations made to address problems identified and any decisions made on those recommendations, and
- Any outstanding actions that need to be followed up.

Complaint handling and management system flowchart diagram



Accountability

KMFRI Director, as the accounting officer of the institute shall be directly responsible for the effective implementation of this policy.

Funding Accountability

This policy shall be funded by the Institute.

Policy Review

This policy shall be reviewed after every three (3) years or as may be necessary.

Version	Date	Description	Approved By

KENYA MARINE AND FISHERIES RESEARCH INSTITUTE
COMPLAINT LODGING FORM CLF-01

1. Details of Complainant's Details

- a. Name _____
- b. Telephone No _____
- c. Email _____
- d. Postal Address _____
- e. Gender _____

2. Please tell us about your Complaint(s) (who, what, when, where and how (attach sheets if needed))

{Provide enough information and copies of any relevant document(s) for provision of further information or corroboration of the complaint}

3. State your preferred outcome to your Complaint

The complaint can be channelled through;

Email:	public_complaints@kmfri.go.ke
Website:	https://www.kmfri.co.ke/index.php/about-us/contact-us
Telephone:	020-8021561
In person	Visit our offices and speak to the appropriate officer in charge of public complaints desk
In the Public Complaints Boxes	One may directly drop their complaint in the designated complaints boxes located within the institute

Postal Mail:	Kenya Marine and Fisheries Research Institute, Headquarter P.O. Box 81651-080100 Silos Road, English Point, Mkomani, Mombasa, KENYA
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