

BONDO MUNICIPALITY

GRIEVANCE REDRESS MECHANISM

COMPLAINTS HANDLING AND PROCEDURES



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ACRONYMS

GRM Grievances Redress Mechanism

PWD Persons with Disability

DEFINITION OF KEY TERMS

Complaint: An expression of dissatisfaction by a person or persons or a group, institution or organization about an unsatisfactory or unacceptable situation, including an act or omission, or about the standard of a service; whether the action was taken or the service provided by the person, the institution itself or a body acting on behalf of the public institution.

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

Lodging: For the purpose of this guide, lodging is the making of a formal or official complaint about a public institution or a public officer.

Resolution: A situation where an institution has provided sufficient information or a remedy or solution to the satisfaction of the complainant, or where the complainant is unsatisfied and the public institution has taken the complaint through due process and made a just decision.

Grievance Redress or Complaints Mechanism: For the purpose of this guide, a grievance redress mechanism/ complaints mechanism refers to the institution, procedure and process that has been adopted by a public institution to handle complaints.

Root cause: The primary source or basis of the complaint. Complaints desk Any service point at the Municipality

CHAPTER 1: INTRODUCTION

1.1 Overview of Bondo Municipality

Bondo Municipal is by law established to implement the mandates and functions provided in the Urban Areas and Cities Act 2012. It is entitled to provide goods, works and services that are necessary for the government to discharge its administrative responsibilities; it also provides certain public goods and services that cannot be effectively provided by the private sector (commercial or business enterprises). These services include policing and law enforcement, public planning, public roads maintenance, regulatory services, arbitration of disputes, public administration, education and health.

A key characteristic of public goods and services is that they are directed at all members of society rather than just those who can afford to purchase them. They are also expected to be accessible in an equitable manner to all members of the society. The urban center management comprises of the Municipal Board, Municipal Manager, Principal Administrator and the Technical and Support Officers who are bound by the national values and principles of governance (Art.10 of the Constitution) and the public service values and principles (Art.232).

1.1.1 Vision

“To be an economically vibrant, prosperous, socially cohesive, and functionally interlinked entity”

1.1.2 Mission

To facilitate the creation of a holistic, orderly and sustainable urban environment entity that ensures equitable welfare for all the residents of Bondo Municipality

1.1.3 Core Values

- Accountability and Transparency;
- Fairness;
- Professionalism;
- Creativity and Innovation;
- Responsiveness;
- Courtesy;

- Patriotism;
- Ethics and Integrity;
- Teamwork; and, □ Meritocracy.

1.2 Background of the policy

Effective complaints handling mechanism is a crucial part of quality service delivery in any institution. Lodging of complaints help institutions to identify weak areas and spurs the motivation for continual improvement. Handling of complaints provides an opportunity for the Municipality to understand its customers and ensure that the issues they raise are quickly resolved. Proper handling of complaints will therefore improve the reputation and image of the Municipality. Complaints also provide the management with information on how its staff treat customers, thus promoting accountability for both the Municipality and the staff.

1.3 Purpose

The purpose of this guide is to provide a simplified road map towards effective complaints handling for the Bondo Municipality and her staff. It aims at providing an easy to implement system for handling, managing, responding and reporting customer complaints with the ultimate goal of ensuring that all complaints raised are handled in a fair, responsive, efficient and integrated manner.

1.4 Policy Statement

Bondo Municipality recognizes that complaints are inevitable outcome in any organization and must be managed effectively as they provide valuable information such as feedback about the performance of the organization and signals for action. For organizations, the emergence of complaints provides a second chance and a golden opportunity to improve on services provision.

1.5 Objective

The overriding objective of this guide is to facilitate a fair, impartial, just, expeditious, proportionate and affordable determination of complaints lodged with the Municipality in accordance with the regulations provided.

It aims to achieve the following specific objectives:

1. Ensure continuous improvement of the services rendered by Bondo Municipality

2. Provide a user-friendly feedback system for the institution,
3. Promote both internal and external accountability for the institution and the public office,
4. Promote public participation in the effective delivery of public goods and services, and
5. Resolve any issues raised by complainants who are dissatisfied with the services rendered by the Municipality.

1.6 Scope

Application of this guideline covers all employees (on contract, permanent and pensionable terms and technical officers), interns and customers.

1.7 Legal and Institutional Framework

These guidelines are anchored on existing legislation and organizational policies including:

- a) The Constitution of Kenya (2010)
- b) Commission on Administrative Justice Act No. 23 of 2011
- c) The Fair Administrative Justice Act (2015)
- d) Access to Information Act (2016)
- e) County Public Service Human Resources Manual, 2013

1.8 Complaints Management

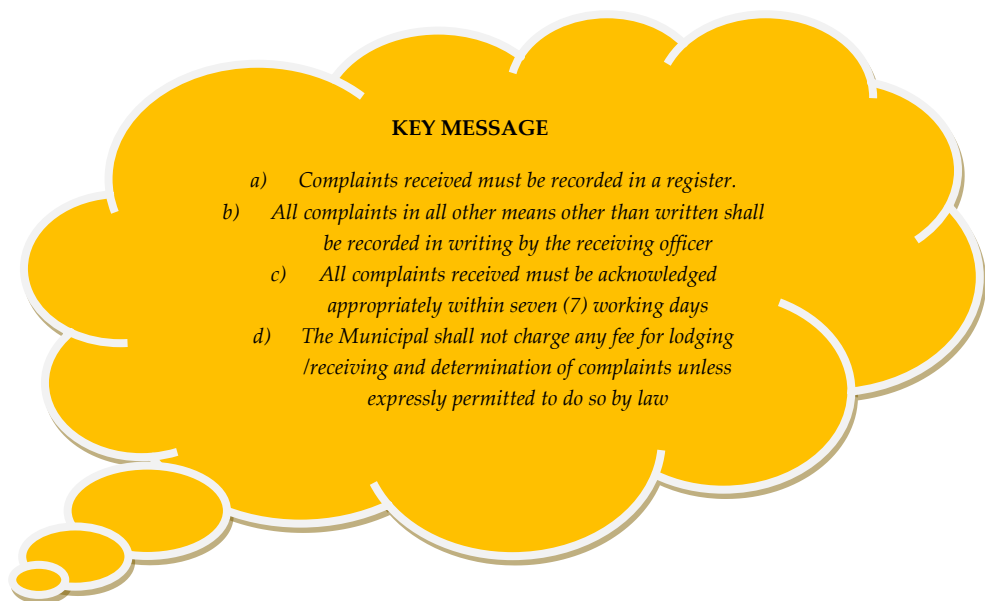
A complaint can be written or oral depending on the convenience of the customer. A person(s) can lodge a complaint in their own name or on behalf of another person. A group, organization or institution can also lodge a complaint. The Municipality will provide designated places/channels where complaints can be lodged including the following:

- a) In person (persons with disability will be assisted to lodge the complaints)
- b) Online via email, website, web posting, or a complaints management information system (CMIS)
- c) Telephone
- d) In writing (letters or emails), including Braille
- e) Text messages

- f) Complaints/Suggestion box
- g) Social media
- h) Any other mode as may be determined by the Municipality from time to time

In addition to the complaints lodged through the modes stated above, the Municipality will also take up the following complaints:

1. *Own motion matters*: - The Municipality may consider picking up own motion matters that are relevant to its mandate and functions.
2. *Anonymous complaints*: - Anonymous complaints shall be treated as complaints to the institutions.
3. *Complaints originating from reports*, including social audits



1.9 Types of complaints

- a) *Minor complaints*: these are complaints which are easily resolved on the spot and require less time to handle. This type of complaints shall be dealt with by the front line/receiving officers.

- b) *Moderate complaints*: these are complaints that require some amount of analysis and investigation hence more time to handle than minor complaints.
- c) *Major complaints*: these are complaints which require in-depth analysis and investigations and therefore a longer time to address effectively.

CHAPTER 2: GRIEVANCES REDRESS MECHANISM CHARTER

2.1 Introduction

This Municipal Grievance Redress Mechanism (GRM) Charter is founded on the basic values and principles of fairness, accessibility, efficiency, responsiveness, confidentiality and flexibility.

2.2 Reporting

The Municipal residents and Clients -including customers- can report complaints using any of the channels provided by the Municipality

2.3 Fairness

Every complainant shall be treated fairly in terms of how the complaint is received, processed and resolved. The GRM is a transparent system that allows the complainant to follow the progress of a complaint lodged as it goes through the various stages. This system also provides for impartial non-discriminatory treatment. As a norm, complaints shall be treated with an open mind, without the agency being defensive or seeking to disapprove the complaint. Respondents shall also be treated fairly by being accorded sufficient time to respond to the accusations or complaints and enjoying adequate protection from complainants and associates.

Finally, the GRM handling mechanism will be shared as widely as possible via the municipal's website, service charter, posters, radio programme and public outreach activities.

Bondo Municipality in its efforts to establish the Grievances Redress Mechanism (GRM) will strive to sensitize and educate the public on:

Our promise in the Grievances Redress Mechanism (GRM) System

We shall strive to:-

- *Make the public know How a complaint should be lodged, including where the complaint form can be accessed,*
- *Address all lodged complaints within a time-frame of 14-working days;*
- *Disclose all the powers of the GRM-mechanism to deal with all complaints,*
- *Declare how the decision of the complaint's mechanism can be appealed against or reviewed,*
- *Cater for the cost implications of the complaint mechanism,*
- *Assure complainants of the impartiality of the system as well as encourage those dissatisfied with decisions reached to lodge complaints without fear of victimization.*
- *Ensure confidentiality and safety of the GRM mechanisms in place*
- *Broaden the options available for lodging complaints namely: telephone (toll -free number), SMS, email (preferably a dedicated line), in person or by post, and*
- *Assign a 'responsible officer or department/office for ease of follow ups.*

2.4 Responsiveness/flexibility

The GRM complaints system shall be responsive to the needs of our customers/the public including those with special needs, such as persons with disabilities (PWDs), illiterate persons and culturally disadvantaged groups. All members of staff including the security personnel shall be trained to handle vulnerable persons with decorum and courtesy. This will be to enable them to handle difficult clients including those who are rude, aggressive and stubborn.

2.5 Effectiveness

The GRM handling system shall be able to give real and meaningful solutions for the complaints lodged. The unit charged with the responsibility of managing complaints and headed by the Municipal Chief **Administrator** will be empowered to take action once the complaint is authenticated, with full support of the Municipality Manager and the Board to ensure that the GRM handling is effective and with full support and commitment from the highest level of the institution to deal with all issues raised.

2.5 Efficiency

Complaints shall be handled in an competent manner that ensures clients are not discouraged from complaining or fatigued by long drawn-out processes. The complaints shall be resolved immediately or as soon as is practically possible **(within fourteen (14) days)** *from the time of receipt of the complaint, initial assessment, allocation of responsibility to deal with it, investigation, resolution and review, and monitoring of the system.*

2.6 Accessibility

Bondo Municipality shall endeavor to ensure that members of the public are made aware of the complaints handling mechanism including the processes accompanying every step of handling the complaint. In addition, the Municipality will publicize all the complaints received plus the solutions provided.

2.7 Customer focused

The Municipality shall be committed to being client-centered, effective in handling complaints and valuing feedback received through a variety of channels.

2.8 Confidentiality

The municipality commits to handle personal information of her clients in a manner that protects the identity and dignity of the complainant.

2.9 Accountability

The municipality and members of her staff shall take full responsibility in ensuring approved complaints receiving and handling forms, complaints handling officer, top leadership representation are clearly established, and complaints and responses to these complaints monitored and reported to management and other stakeholders.

2.10 Transparency

The Municipality and the complaints handling officer shall exercise openness. In the complaints handling process there should be free sharing and access to information by all parties involved.

2.11 Continuous improvement and Simplicity

The Municipality is aware that complaints provide a source of improvement for the institution hence will adhere to make the Grievances Redress Mechanisms simple and straightforward.

2.12 Recording

The municipality shall maintain written records of all complaints received. Specifically, it will ensure that the records are not just recorded but also assigned a case reference number and allocated a file number. Upon resolution of the case, it will monitor and evaluate such cases so that they inform future decision-making processes.

CHAPTER 3: PROCEDURE FOR LODGING COMPLAINTS, ADMISSION AND RESPONSE TO COMPLAINTS

3.1 Introduction

Bondo Municipality is committed to consistent, fair and confidential complaint handling and to resolving complaints as quickly as possible. The Municipality aims at making it easy for the residents and its clients/customers to make a complaint if they are dissatisfied and the Municipality shall treat all residents and clients/customers making a complaint equally.

3.2 Procedure

The standard procedure to be applied in addressing complaints is as outlined below:

- a) Once a complaint is received, it shall be recorded by the receiving officers/departments and accorded a case reference number to facilitate follow up. A record of a complaint shall include the name and contact details of the customer, full details of the complaint including the date, as well as details of all communication with the resident, client/customer and any actions to resolve the complaint.
- b) If the complaint is simple, the receiving officer shall resolve the complaint immediately and update the register.
- c) If the complaint is moderate or major, the receiving officer shall escalate it to the immediate supervisor for further investigations and resolution. The escalation shall be done within one (1) working day of receiving the complaint.
- d) The Municipality shall resolve all complaints within thirty (30) working days of receipt (subject to provision of all required documentation). Written complaints shall be acknowledged within two (2) working days.
- e) Where the complaint cannot be resolved immediately, customers shall be informed of the aforementioned time-frame at the time of making their complaint. The residents and clients/Customers shall be informed of the progress of their complaint regularly, especially if there are any delays or changes to what has been agreed upon between the complaints officer and the customer.

- f) The **Municipal Administrator or Complaints Officer** shall communicate the action to the complainant within one (1) working day from the date the decision is arrived at and update of the records made accordingly.
- g) Where appropriate, the residents and or clients/customers who have had a complaint resolved shall be contacted within fourteen (14) working days to find out whether or not they are satisfied with how their complaint was handled.
- h) If the complainant is not satisfied, the case shall be forwarded to the **Municipal Manager** for further action.
- i) Where a complaint cannot be resolved by the foregoing complaint handling procedure, it shall be referred to the **Municipal Board** and the resident/client/customer/complainant shall be informed and given an amended time frame for resolution.
- j) All heads of directorates/departments shall forward their complaints registers to the **Municipal Administrator** on a monthly basis for compilation.
- k) The **Complaints Officer** shall compile all complaints (including their status) and forward them to the Grievances Redress/Complaints Handling Committee on a quarterly basis for analysis during the quarterly meetings.
- l) The Grievances Redress/Complaints Handling Committee shall prepare a report on complaints management in the approved format and forward to the office of “Ombudsman” on a quarterly basis.
- m) If the Municipal Manager is the subject of the Complaint, the complaint shall be forwarded to the Municipal Board Chairman for further action.
- n) If a Board Member is the subject of a complaint, the complaint shall be forwarded to the County Executive Committee Member (CECM) for Lands or Chief Officer (CO) Lands, for further action.

3.3 Stages of the Complaint Management Process

3.3.1 Lodging of complaints

A person/s can lodge a complaint in their own name or on behalf of another person. A group, organization or institution can also lodge a complaint. The institution should provide designated

places or offices or persons where complaints will be lodged. Complaints can be lodged through the following modes:

- In person (persons with disability will be assisted to lodge the complaints)
- Complaints on behalf of persons unable to lodge complaints
- Online via email, website, web posting, or a complaints management information system (CMIS) if it is available
- Telephone
- In writing, including Braille
- Text messages
- Social media
- Any other mode as may be determined by the institution

3.3.2 Receipt and acknowledgement of complaints

Upon receipt of a complaint, the complaint handling officer shall assign it a reference number, which should be made known to the complainant for tracking purposes

3.3.3 Documentation of the complaint

A record shall be created for every complaint and shall comprise of at least the following: particulars of the complainant (name, address, contacts, next of kin, age, gender, county, reference number of relevant file or matter (if any), the nature of the complaint (what, who, when, where etc.), parties involved, relevant dates and action taken.

Accompanying documents shall also be recorded and indexed.

The Municipality shall establish a database of complaints containing particulars of the complainant, the nature of the complaint, parties involved, relevant dates, action taken and any other details related to the specific complaint.

All documents relating to complaints shall be kept in safe custody and a record of the chain of custody shall be maintained.

Complaints records shall be maintained for at least six years.

3.3.4 Assessing the complaint

An initial assessment of the nature and gravity of the complaint should be made by the receiving or front office officer to allow for categorization and prioritization. This avoids the lumping together of simple, easy-to-resolve complaints with complex time consuming ones. It also allows an effective allocation of complaints to the most relevant officers, leading to faster processing and resolution of the matter.

Admissibility

Complaints will be reviewed to determine whether they are within the mandate (functions, conduct, services) of the institution. Other factors that may be considered to determine admissibility will be:

- whether a complaint is already being handled by another competent institution, e.g. the courts, and
- the period within which a complaint is lodged, based on the timelines that may be determined by the institution.

3.3.5 Action

- After assessment for admissibility of a complaint, the file will be allocated to an action officer or referred to the relevant bodies or institutions.
- An inquiry into the complaint will then be conducted to verify the facts and other details of the complaint before action is taken.
- At this stage the respondent should be contacted to give a response to the lodged complaint.

3.3.6 Investigation

Where investigation is required, it shall be properly planned with a clear indication of the time and resources required. The planning shall clearly establish what is to be investigated, what evidence will be gathered, who is to be interviewed, documents to be recovered, the expectations of the complainant and also whether the complaint has special considerations to be taken into account — issues such as the security of the complaint, confidentiality, or available evidence that should be dealt with at the planning stage.

The investigation shall be for the purposes of establishing the facts and exploring options for resolution. The investigation itself should be carried out in an impartial manner. Confidentiality shall be maintained and great care taken to ensure the complainant's privacy is protected and their safety is not imperiled through exposure of his or her identity.

3.3.7 Review/ authentication of evidence

Both the complainant and respondent must be treated fairly and given the chance to advance/respond to claims/allegations and/or produce any relevant evidence. The parties shall be given adequate opportunity to be heard before the designated complaints officer. Parties may object to the hearing of their complaints by officer/s that they suspect may be biased against them. All matters shall be handled in a manner that complies with the Constitution and the laws of Kenya.

3.3.8 Responding to/resolving the complaint

Resolving the complaint involves addressing the issue(s) complained about and offering the best possible remedy in the circumstances. The complaint shall be dealt with in an equitable and objective manner. An officer who has any interest in the matter shall disqualify themselves from handling the case. Complex matters may involve mediation, negotiation or conciliation. The complaints handling officer shall have an open mind and examine the evidence objectively.

The remedies for addressing the complaints shall be clearly set out and the parties shall all be aware of the possible solutions. The complaints handling officers shall be empowered to provide the remedies at the appropriate levels, i.e. front office. The complainant shall be informed of the decision reached and reasons shall be given for the decision by the complaints officer. Any decision reached shall be communicated within 30 days. The complaints mechanism shall have an appeal or review provision for those who are dissatisfied with the decision of the complaints officer of first instance. The appeal or review process shall also be simple and fast.

Recommendation for resolution by others

Where another institution is better positioned to provide a remedy to the complaint under consideration, the Municipal shall refer the complaint to that other institution; and also may collaborate with other institutions in providing a remedy to the complaint.

Root cause

The action officer shall document what they consider to be the root cause of the complaint

3.3.9 Closing the file

Once a decision is arrived at, it shall be communicated to the complainant and the respondent and other interested parties. The complaints database shall be updated to reflect the decision made

3.3.10 Audit and review of the system

3.3.10.1 Root cause analysis

The institution shall undertake a root cause analysis of complaints to identify systemic problems and take remedial action.

3.3.10.2 Monitoring and evaluation

A monitoring and evaluation mechanism shall be developed by the institution to provide regular reports, including monthly reports to management, and quarterly and annual reports to stakeholders. Management should conduct random checks on the system.

3.3.10.3 Customer satisfaction surveys

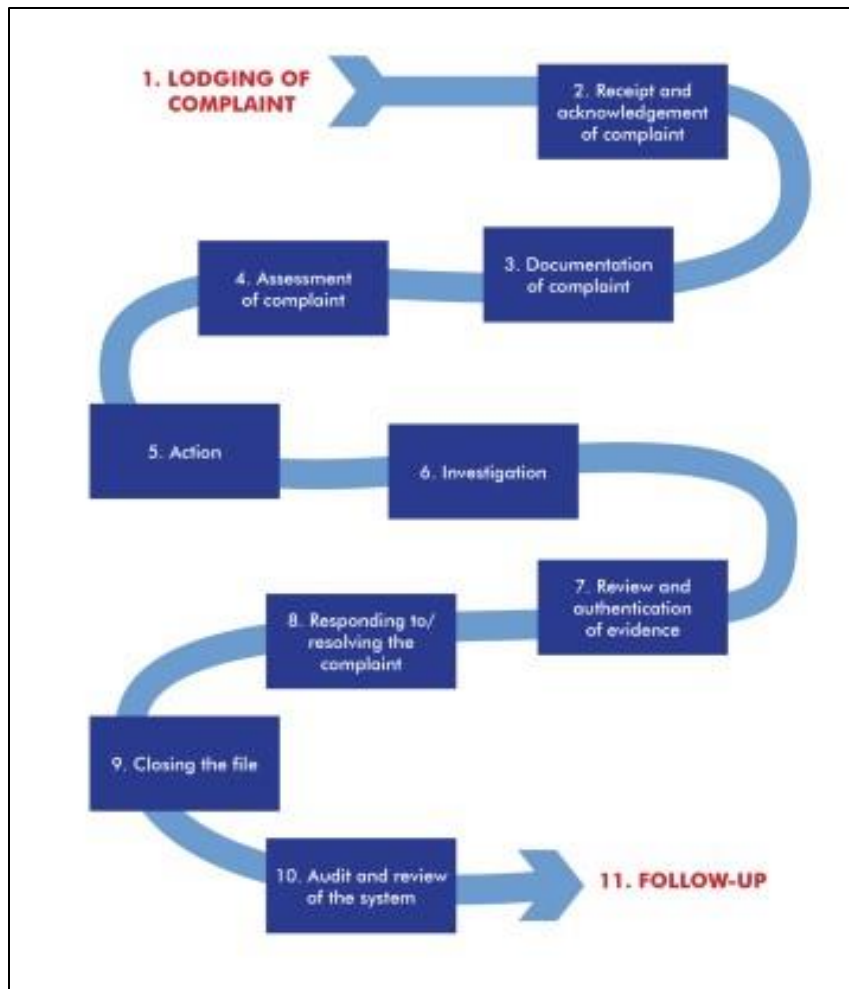
Annual customer service surveys shall be conducted on complaints resolution.

3.3.10.4 Reports and recommendations

Monitoring and evaluation and statutory reports shall be prepared by the institution and the recommendations therein shall be implemented to ensure improvement in the delivery of services and in complaints handling.

3.3.11 Follow-up

Once the complaint is addressed, there should be a follow-up on the implementation of the decision to ensure the issue is resolved with finality. The follow-up should also identify and address the root cause of the problem to ensure there is no recurrence. *Figure 1 Stages of the Grievances Redress Management Process*



3.4 Safeguarding and Prevention of Sexual Harassment

- i. The Constitution of Kenya guarantees rights and freedoms of every person in Kenya including the right to fair labour practices, the right to freedom and security of the person, the right to human dignity and freedom from discrimination.
- ii. Section 6 of the Employment Act defines sexual harassment as where an employer or a representative of the employer or a co-worker:
 - a. *directly or indirectly requests an employee for sexual intercourse, sexual contact or any other form of sexual activity that contains an implied or express (i) promise of preferential treatment in employment; (ii) threat of detrimental treatment in employment; or (iii) threat about the present or future employment status of the employee;*

- b. uses language whether written or spoken of a sexual nature;*
 - c. uses visual material of a sexual nature; or*
 - d. shows physical behaviour of a sexual nature which directly or indirectly subjects the employee to behaviour that is unwelcome or offensive to that employee and that by its nature has a detrimental effect on that employee's employment, job performance, or job satisfaction.*
- iii. In addition, the Municipality shall issue a policy statement on sexual harassment, that include: a definition of sexual harassment; a statement that every employee is entitled to employment that is free of sexual harassment; a statement that the employer shall take steps to ensure that no employee is subjected to sexual harassment; and a statement that the employer shall take disciplinary measures as they deem appropriate against any person who subjects any employee to sexual harassment.
- iv. In addition to having a sexual harassment policy, the Municipality shall ensure that the policy is implemented, and train all employees on the parameters of the policy.
- v. In the event an employee or client claims that he/she was sexually assaulted, the employee or client can institute court proceedings claiming that any of the above rights have been denied, violated, infringed or threatened.
- vi. In the event the claim is successful, the court has the power to order for just compensation to be paid to the victim or order for judicial review in the event due process when handling a sexual harassment allegation was not followed.

3.5 Grievance/Complaints Handling Mechanism

To ensure that complaints are given the necessary attention with a view to improving the delivery of services, the Municipality shall establish a complaint handling mechanism as follows:

i. Complaints Desk

ii. Committees (standing and ad-hoc)

iii. Complaints Officer

iv. Access to Information Officer and

v. Office of "Ombudsman"

The complaints handling officers will be given adequate independence, authority, resources and necessary support and commitment by the Municipality in order for it to be effective. The Municipality will put in place measures to protect all complainants from intimidation, enticement and compromise by those against whom complaints are made

3.6 Access to Information

Access to Information Act (2016) sets out the principles of access to public information, determines the subjects of the law, and regulated procedure for seeking public information. It establishes complaints procedures and confers oversight and enforcement powers on the Commission on Administrative Justice (CAJ). The Act postulates that every person has rights to request information from the government and it is the duty of the government to provide the requested information unless limitation by law applies

3.6.1 Procedure on Access to Information

The following procedure will be used in disseminating information sought by clients/customers/citizens:

- a) Access to Information Officer or delegated officer shall record the details of the requested information in the Fund's request to access information register within 24 hours upon receipt*
- b) The officer receiving the request to information access to acknowledge receipt within two (2) working days and advise the applicant how to access the request to access to information form and guide on how to fill it.*
- c) Processing of urgent requests to be done by the officer within 48 hours upon receipt and ordinary request within twenty-one (21) working days.*
- d) Communication of any transfers of requests to the applicants to be done within seven (7) working days upon receipt.*
- e) Communication on matters such as applicable fees, mode of payment, process of accessing information and the right of appeal to the CAJ within seven (7) working days from the date of receipt.*
- f) Upon payment of applicable fees, the applicant to be facilitated to access the requested information within five (5) working days.*

- g) In the event that the information requested is confidential in nature, the applicant will be required to sign the confidentiality agreement form.*

CHAPTER 4

ROLES AND RESPONSIBILITIES

4.1 Municipal Board Members

- a) Approve the Grievances Redress Mechanism handling guidelines and procedures.
- b) Reinforce Management's commitment and responsibility in identifying areas of complaints and ensure efficient and effective handling, managing, responding and reporting of customer complaints.
- c) Timely address appeal cases directed to the Board.

4.2 Municipal Manager

- a) Work within statutory requirements, ensuring both residents/clients/customers' rights and the Municipal's rights are protected.
- b) Appoint a complaints officer and access to information officer
- c) Ensure staff members who deal with complaints have the full authority to provide solutions that are acceptable to customers.
- d) When staff members who deal with complaints cannot resolve them, make sure they can refer complaints directly to another person who can.
- e) Appoint members of the complaints handling committee.
- f) Approve budget for the Grievances/Complaints Handling Committee.

4.3 Grievances Redress Mechanism/Complaints Handling Committee

The Committee shall be appointed by the Municipal Manager and will be composed of at least five (5) members as follows:

1. Municipal Administrator representing Management– Chairperson
2. Representative from the Social Services- Member/Secretary
3. Representative from the Planning and Design- Member
4. Representative from the Supply Chain Department – Member
5. Representative from the Legal Services Department – Member

The functions of the Committee will be to:

- a) Promote the sensitization of staff and other stakeholders on Grievances or complaints handling,
- b) Advise management on complaints handling,
- c) Receive, process and oversee the resolution of complaints,
- d) Monitor the trends of complaints and recommend remedial action,
- e) Prepare regular reports to management on complaints handling,
- f) Coordinate complaints handling activities in the organization,
- g) Ensure the integration of complaints handling in the organization,
- h) Ensure compliance with the guidelines of the Commission on resolution of public complaints, as may be issued from time to time,
- i) Monitor, evaluate and review complaints handling activities in the Municipal
- j) Where appropriate refer complaints to the appropriate authorities including the CAJ.

4.4 Employees

- a) Resolve complaints whenever possible at first contact.
- b) Register complaints details for later analysis.
- c) Speak to the customer in person.
- d) Treat the customer with genuine empathy, courtesy, patience, honesty and fairness.
- e) Respond to complaints quickly.
- f) Keep the customer updated on progress, act quickly on promises and inform when an action is completed.

4.5 Grievances Redress/Complaint Handling Channels

Bondo Municipality will gather information on complaints from employees, the public and media, among others. Information can be provided in writing, by telephone or in person to:

The Chairperson Bondo Municipal Board	Secretary/CEO Bondo Municipal Board
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4.6 Monitoring and Evaluation

The Municipality will provide regular reports, including monthly reports to management, and quarterly and annual reports to stakeholders. Customer service surveys to establish the level of customer satisfaction will be conducted once every two years.

4.7 Review Date

The policy will be reviewed every two (2) years or as need arises in order to address emerging issues.

Appendices

1. Appendix 1: Complaints Form

Complaint Number..... of 20....

1. Complainant's Details (*all information given is voluntary*)

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

Number_____

Postal Address_____

Mobile_____

Email_____

County_____

Age_____

2. How did you get to know about the Fund's complaints mechanisms?

☐ Newspaper

☐ TV/Radio

☐ Referral by friend

Others (please specify) _____

3. What service, project, programme or policy are you complaining about?

4. Please give a brief summary of your complaint and attach all supporting documents (*note to indicate all the particulars of what happened, where it happened, when it happened and by whom*).

5. What action would you want to be taken?

Signature_____ Date_____

2. Appendix 2: Data Update Form

Complaint Number..... of 20....

1. Complainant's details Name (Dr/Mr/Mrs/Ms)

ID Number_____

Postal Address _____

Mobile_____

Email_____

County_____

Age_____

2.Respondent's details Name (Dr/Mr./Mrs./Ms.)

Staff ID_____

Mobile_____

Email_____

County_____

Age_____

3. Details of the complaint

4. The facts of the complaint

5. Decision reached by the complaints officer

Root cause of the complaint

3. Appendix 3: Access to information Form or Request Information Form

Step 1	Step 2	Step 3	Step 4
Decide if you need to make an informal request or a formal request under the Access to Information Act 2016. If it is a formal request, send your request to info@siaya.go.ke	If you need to make a formal request under the Access to Information Act 2016, complete this form or a written request mentioning the Act. Describe the information being sought and provide relevant details to assist Siaya Municipal find it	Forward the access request to Siaya Municipal Administrator OR Information Officer. The address is listed as: info@siaya.go.ke	When you receive an answer to your request, review the information to determine whether you wish to make any further request under the Act. You also have the right to complain to the office of “Ombudsman” should you believe that your have been denied any of your rights under the Act

Summary of the information being sought_____

Method of access preferred:

Receive copies of original.....Examine original in Siaya Municial offices.....

Name of applicant_____

Postal Address_____ City/County_____

Physical Address_____ Telephone No._____

Signature.....Date.....

3. Appendix 4: Template for Conducting the Root Cause Analysis

Complaint e.g. Forceful eviction claim lodged	Officer/department complained against	Nature of complaint/service issue e.g. unlawful evictions	Type of cause – physical (e.g. system failure), human (e.g. inefficient officers, slow, unresponsive) or organization (e.g. policies, procedures, regulations)	Remedy granted	Corrective/preventive action to be taken

4. Appendix 5: Hearing/Pronouncement Form

Complaint Number..... of 20....

Between

Complaint AB

and

Respondent CD

HEARING /PRONOUNCEMENT OF FINDINGS

To: Complaint /Respondent

TAKE NOTICE that this complaint is scheduled for Hearing/Pronouncement of the committee's findings (delete as appropriate) before a committee of the Municipality at the offices of the Municipality situate at on the day of 20 at O'clock.

Take further notice that you are required to appear in person or by your duly authorised representative and, in the case of a hearing, together with your witnesses (if any) to give evidence in support or defence of the complaint.

Please note that, in the event of your non-attendance, the committee shall take such action or make such orders and directions as the committee considers just.

Issued this day of 20

Name..... Signature..... Designation.....

5. Appendix 6: Investigations Report

- a) the name and contact information of the complainant or complainants, as the case may be;
- b) the name and contact information of the respondent or respondents, as the case may be; c) the nature of the complaint;
- d) the date on which the complaint was lodged;
- e) the date on which the complaint was admitted;
- f) the date on which the authorised officer was appointed to undertake preliminary investigations;
- g) the period within which the preliminary investigations were carried out;
- h) the names and contact information of the persons interviewed;
- i) the authorised officer's findings on the respective issues raised in the complaint;
- j) the date on which the report is made; and
- k) the name of the officer by whom the report is made.