Complaint Management for CERN

Process Documentation

Version 2.0
17.06.2013

Table of Contents

1 Document Information

1.1 Version Management

Change	Date	Version	Author
Initial Creation	19.03.2013	1.0	Reinoud Martens
Completed with role descriptions and implementation decisions	17.06.2013	2.0	Reinoud Martens

1.2 Distribution List

1.3 Authors and Collaborators

The following persons were involved in the creation of this document:

- Reinoud Martens   CERN GS/SMS

The following persons took part in the process design:

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3 Introduction and Management Summary

This document provides the description of the Complaint Management process for CERN and covers the requirements of the various stakeholder groups.

The Complaint Management process will be designed to fulfil the overall goal of unified, standardized and repeatable handling of Service Complaints at CERN in line with ISO20k.

The standard requires the existence of a documented formal service complaint process as part of Customer Relationship Management (chapter 7.1 in ISO). This process should not be confused with the user feedback and satisfaction surveys, nor with incident management.

The documented service complaints procedure should include recording, investigating, acting upon, reporting and closing any service complaints received. It should include an escalation procedure to be used if the customer does not agree to or accept the proposed actions or resolution. The complaint should remain open until the customer provides formal agreement that it can be closed.

The service provider should understand, define and agree with the customer what constitutes a formal service complaint. **A formal service complaint is normally very serious** and submitted in written rather than verbal form. **The formal service complaint should be sent by a manager of the customer to a manager of the service provider.** An incident or problem may be the cause of complaints but they are not themselves complaints.

The outcome of the review of the complaint should be summarized and reported back to the customer so that they can see that their opinions have been taken seriously and acted upon.

This document is intended as an addendum to the existing CERN Service Management process documentation which covers Incident Management, Request Fulfilment and Change Management.

This document contains descriptions of roles required for implementation and operation. These roles are Service Relationship Manager and Service Manager On Duty.

4 Purpose of Complaint Management

Complaint Management is part of the Service Relationship Management process that aims to maintain a positive relationship with users and stakeholders. The results will be used in the continuous improvement process and should be reported in service review meetings.

There are two sub processes:

- Handle Customer Complaints: Process Objective: To record customer complaints, to assess the complaints and to instigate corrective action if required.
- Monitor Customer Complaints: Process Objective: To continuously monitor the processing status of outstanding customer complaints and to take corrective action if required.

5 Complaint Management Mission Statement

To maximise customer and user satisfaction by performing root cause analysis, report and follow up on complaints and take corrective measures if necessary.

6 Definitions

Complaint Management for CERN will be based on ITIL best practices to ensure the controlled handling, monitoring and effective closure of complaints.

7 Process Overview
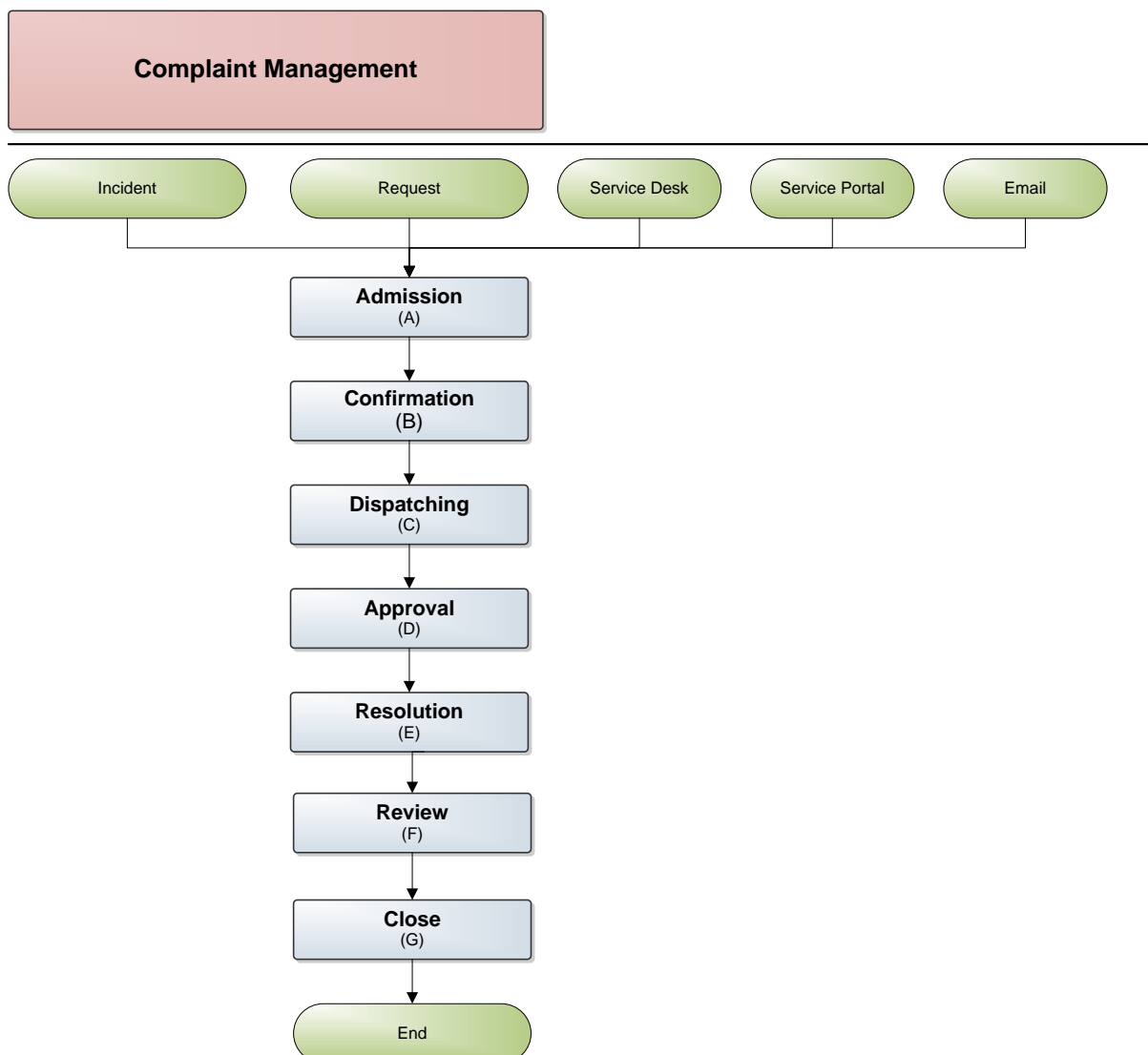
A complaint can be received via service desk (phone), using a form on the service portal, and by sending an email to a dedicated email address.

Subsequently a ticket will be created and the 'caller' will be notified of the procedure. Here it will be made clear that the customer (or supervisor) of the caller will be involved in the process (if the caller is not a customer but a user) . If the caller confirms his complaint the complaint will be dispatched to the appropriate service owner or service relationship manager for approval. If the complaint is confirmed the resolution process will start in communication with the customer and other stakeholders. At the end of this process the ticket will be reviewed with the caller and resolved.

8   Process Activities

The following table provides a description of each activity in the Complaint Management High Level Process Flow diagram:

Activity	Description

9   Complaint Management Roles and Responsibilities

9.1   RACI Matrix

Process Roles Activities Within Process	Service Relationship Manager	Service Desk / Service Desk Manager	Functional Manager / Service Owner	Customer/User
Handle Customer Complaints	A R	R	A	I
Monitor Customer Complaints	A R		C	I

A – Accountable   R – Responsible   C – Consulted I – Informed
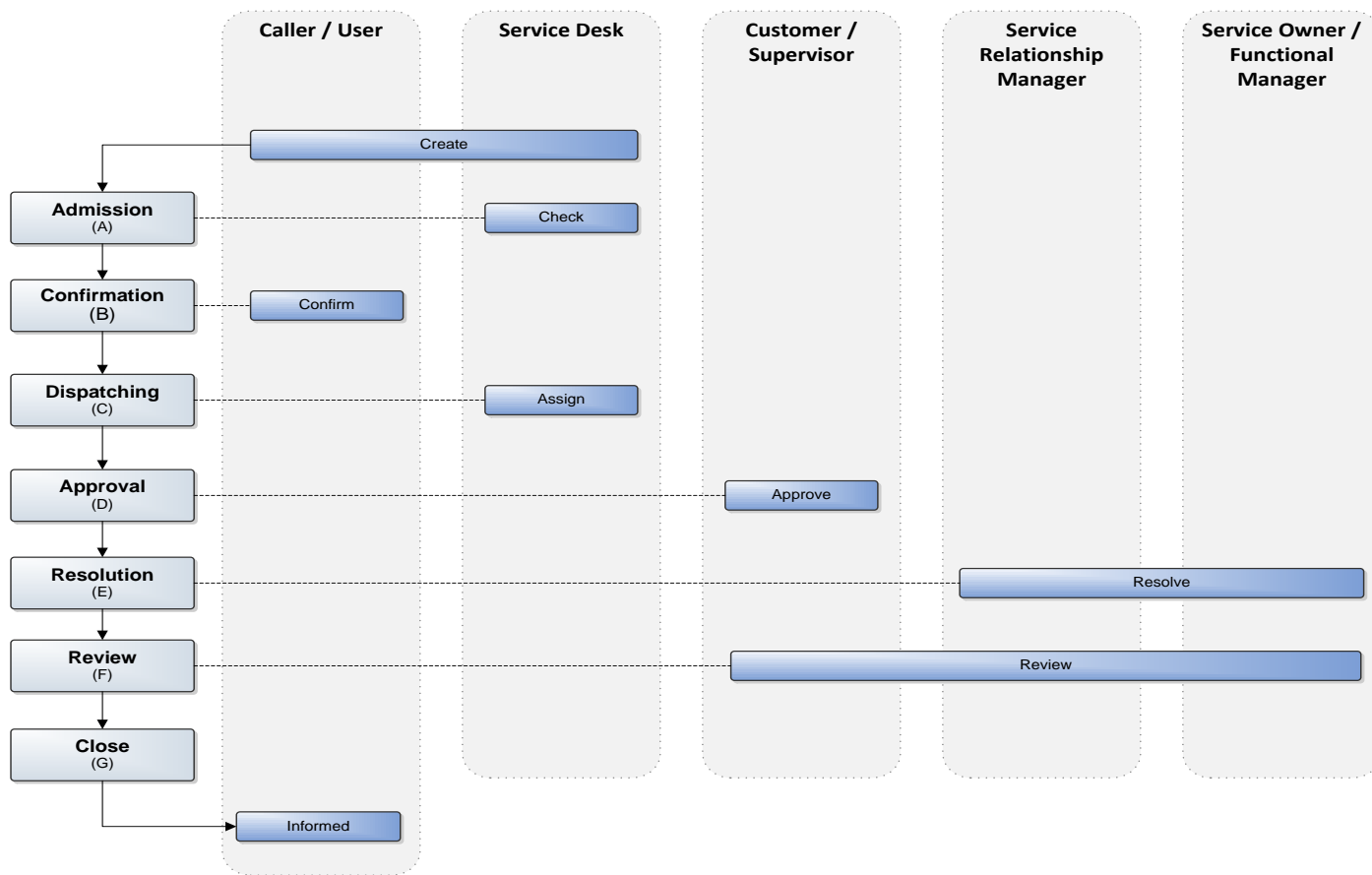
9.2 Complaint Management Process Owner

9.2.1 Duties & Responsibilities

The Process Owner is accountable for one or more processes to ensure that processes are executed according to specification and meet the agreed and defined goals and objectives.

Responsibilities include assistance in and overseeing overall process design including documentation and defining Key Performance Indicators (KPIs) necessary to evaluate process effectiveness and efficiency.

9.2.2 Tasks

The following tasks are assigned to the role of a Process Owner:

- Assisting in and ultimate accountability for process design and documentation
- Defining process quality metrics (KPIs)
- Reviewing process KPIs and identifying opportunities for process improvement
- Addressing issues within process operation
- Overseeing management of Changes for processes
- Ensuring that processes are equipped with necessary resources in terms of staff, tools budget etc.
- Ensuring continuous training of all staff involved in process operations

- Close relationship with Service Managers and Service Owners to support Continuous Service Improvement (CSI) programs

9.2.3 Skills, Experience & Knowledge

To be able to fulfil this role the following range of skills, experience & knowledge is required

- Strong service and process orientation
- Communicational skills for department-internal coordination with roles responsible for services and processes as well as group or section leaders

9.2.4 Assignment

The role of the Process Owner is assigned within the Service Manager team made up of members from GS/SMS and IT/DI-SM. The determination of a deputy is recommended.

Ownership can be assigned for more than one process if necessary.

9.3 Service Relationship Manager

9.3.1 Duties & Responsibilities

The Service Relationship Manager (SRM)[1] establishes and maintains the relationship processes between one or more CERN service providers (responsible for a service) and their users and customers. He is responsible for managing the relationship and customer/user satisfaction, establishing efficient and effective communication mechanisms between the service provider and customer.

The purpose of this role should be improved user and customer satisfaction and delivery of value.

The SRM will set up regular communications with the customers/users to enable the service provider to understand the changing needs, priorities, and requirements of the customers/users and at the same time communicate the constraints, and problems faced by the service provider.

The SRM will organize regular performance reviews with the customer of services.

The communication mechanisms established with the customer should include ad-hoc meetings and informal meetings, in addition to formalized and documented meetings. These communications should build a relationship with the customer, identify changes in priorities and objectives and assure a high level of comprehension and communication back and forth between the customer and service provider for action on both sides.

The communication mechanisms should aid understanding of the environment in which the service operates including CERN constraints and needs, customer requirements and major changes.

He is involved in escalations as well serving as the point of contact for customer complaints.

The SRM communicates closely with the service owners and functional managers involved in the service delivery

9.3.2 Tasks

The following tasks are the responsibility of the Service Relationship Manager:

- Organization of a formal customer service review meeting (all services should be covered once a year)
- Organization of ad hoc operational service review meetings (frequency depending on needs)
- Serving as a point of escalation (notification) for major incidents and service outages.
- Responsible for customer complaints process (recording, investigating, acting upon, reporting and closing service complaints).
- Setting up of customer satisfaction measures (satisfaction survey's, analysing customer/user feedback)
- Monitoring of service metrics (overall performance, backlog trend, major incidents, service outages, etc..)
- Supporting negotiations of SLAs (Service Level Agreements), OLAs (Operational Level Agreements) and Contracts with third parties.
- Participating in continual improvement activities and facilitating the introduction of changes affecting the service (this includes suggestions for improvement for communication between third party contractors and users, alignment of processes with good practice, etc..)

9.3.3 Skills, Experience & Knowledge

For a successful fulfilment of this role the following skill set is recommended:

- Knowledge about service structures as well as technical and functional dependencies
- Communication skills and service-orientation to ensure long-term customer satisfaction and good relationship between service and customer organizations
- Experience in dealing with managers, technicians and scientists on all levels of the organization
- Organization and communication skills to ensure continual coordination of internal and external staff responsible for service provision

9.3.4 Assignment

The Service Relationship Manager role should exist for all services with a significant customer base. A person can be Service Relationship Manager of more than one service.

9.4 Service Desk Manager

9.4.1 Duties & Responsibilities

The SDM caries the operational responsibility for the Service Desk.

He/she will closely monitor the workload and performance against agreed targets (Service Level Agreements (SLAs)) and intervene when thresholds are exceeded.

He/she will closely monitor the quality of the responses of the Service Desk, and monitor if the correct balance of skills and capacities are on duty at appropriate times so that consistency is maintained.

He/she will be responsible for driving performance and improvement of customer satisfaction, by implementing a Service Improvement Plan.

He/she will strive to improve first call resolution rates, improve the knowledge base, analyse service desk activity and make recommendations for increased organisational efficiency and effectiveness.

He/she will also monitor and adjust scheduling models to ensure coverage to the business outside the operational hours of the Service Desk Contract (with the help of other services at CERN like the fire brigade and the hostel reception).

He/she is physically available close to the service desk, and acts instantly when necessary to solve operational problems, to evaluate complaints or to coordinate the resolution of specific requests in close collaborating with the Service Desk contract staff.

The SDM reports to the Service Managers' team.

9.4.2   Tasks

The following tasks are assigned to the role of a Service Desk Manager:

- Carry operational responsibility for incident and Service Request handling on the Service Desk
- Monitoring of, and Reporting on, Service Desk activity
- Provide feedback to the Service Desk Contract manager for him/her take corrective action whenever necessary
- Drive improvements of Service Desk efficiency and effectiveness
- Representing the Service Desk at meetings
- Communication with all roles involved in Service Management processes to improve daily operation procedures as well as customer's satisfaction

9.4.3   Skills, Experience & Knowledge

To be able to fulfill this role the following range of skills, experience & knowledge is required:

- CERN awareness: have specific knowledge of the organization's areas, drivers, structure, priorities, etc
- Service awareness of all of topics areas covered by the service catalogue
- Good knowledge of service management tools, and supported (ITIL) processes
- Excellent communication, negotiation and mediation skills
- Fluent in English and French
- Demonstrable evidence of influencing positive change within a group of people.

9.4.4   Assignment

The role of Service Desk Manager should be filled during the opening hours of the Service Desk at any time.

9.5   Functional Manager

The Functional Managers have a key role to play in the Complaint Management process. As the managers responsible for the technical resources, they need to work closely with the

Service Relationship Manager to provide feedback and suggest solutions. Once the solutions have been identified, they will authorise any Changes through the Change Management process. They may also be required to attend any review meetings.

9.6 Service Owner

As "owner" of the service(s) provided, the Service Owners will need to monitor closely the activities of the Complaint Management process. They will support the Service Relationship Manager. They must be present at possible Review meetings.

10 Integration with other Processes

The following integration between Complaint Management and other processes must as a minimum be shaped, and guarded by the Complaint Management Process Owner and Manager.

Incident Management / Service Desk

- Make improvement recommendations on aspects of the Incident Management process as necessary

Configuration Management

- Make improvement recommendations on aspects of the Configuration Management process as necessary

Change Management

- Ensure that Requests for Change (RFCs) raised by Complaint Management are correctly assessed for impact and are authorised/rejected as appropriate
- Make improvement recommendations on aspects of the Change Management process as necessary
- Attend Change Review meetings where appropriate

Release Management

Security Management

Business Continuity & ITSCM

- Ensure Complaint information is escalated to the ITSCM team for invocation of Continuity Plans as defined within the Business Continuity policy

Service Level Management

- Notify Service Level Management of any potential service improvements achievable through the amendment of SLAs, Operational Level Agreements (OLAs) or Under-pinning Contracts (UPCs)

Availability Management

- Notify Availability Management of any potential problems threatening the availability of Services

Capacity Management

- Consult with Capacity Management to devise plans that can be implemented using Capacity Management sub-processes.

11 Key Performance Indicators (KPIs)

Key Performance Indicator (KPI)	Definition
Number of Customer Complaints	Number of received customer complaints
Number of accepted Customer Complaints	Number of received customer complaints which were accepted as justified