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# *SBP ISO 10002:2018 (CSM) PROFESSIONAL COURSE- CASE STUDIES*

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### CASE STUDY #1

#### **Title: Ensuring Objectivity in Complaints Handling at ABC Corporation**

#### **Scenario:**

ABC Corporation is a medium-sized company with approximately 200 employees. The company prides itself on maintaining a fair and transparent work environment. To uphold these principles, ABC Corporation has a well-defined complaints-handling process in place to address any issues that may arise within the organization.

Recently, a complaint was filed against one of the senior managers, John, by one of his team members, Sarah. Sarah alleged that John had been unfairly allocating work, giving preferential treatment to certain team members, and creating a hostile work environment.

The HR department, upon receiving the complaint, initiated the complaints-handling process. Here is how they ensured objectivity throughout the process:

#### **1. Immediate and Complete Informing:**

John was immediately informed of the complaint against him. He was provided with all the details of the complaint, including the specific allegations made by Sarah. The HR department scheduled a meeting with John to discuss the complaint in detail.

During the meeting, John was given the opportunity to ask questions and seek clarification about the allegations. The HR representative ensured that John was fully informed about the complaints against him.

#### **2. Allowing Explanation and Support:**

After being informed of the complaint, John was given the opportunity to explain his side of the story. He was allowed to provide his perspective on the allegations and was provided with appropriate support if needed.

John was encouraged to provide any evidence or witnesses that could support his version of events. The HR department assured John that his explanation would be taken into consideration during the investigation.

#### **3. Confidentiality:**

While ensuring confidentiality for Sarah, the complainant, ABC Corporation also maintained confidentiality for John. The HR department ensured that only those directly involved in the complaints-handling process were made aware of the details of the complaint.

Sarah was assured that her identity would be kept confidential throughout the investigation. She was informed that her complaint would only be discussed with those directly involved in the investigation.

#### **4. No Excuse for Avoidance:**



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Despite maintaining confidentiality, ABC Corporation made sure that the complaint was not ignored. The HR department took Sarah's complaint seriously and initiated a thorough investigation into the matter.

The HR team interviewed other team members who had worked closely with John and Sarah to gather additional information. They also reviewed relevant documentation and communication records to assess the validity of the allegations.

### **5. Objectivity Monitoring:**

The HR department monitored the handling of the complaint to ensure objectivity. They randomly selected resolved complaint cases for review on a monthly basis. Additionally, they conducted surveys of complainants to gather feedback on whether they felt they were treated objectively during the complaints-handling process.

### **Outcome:**

After a detailed investigation, it was found that some of the allegations made by Sarah against John were substantiated. ABC Corporation took appropriate action to address the issues raised in the complaint.

John was provided with feedback on his behavior and was given training on how to manage his team more effectively and impartially. Additionally, ABC Corporation implemented measures to ensure that all team members were treated fairly and equitably.

The outcome of this case demonstrated ABC Corporation's commitment to maintaining objectivity in its complaints-handling process, ensuring a fair and transparent workplace for all employees.

## **CASE STUDY #2**

**Title: Planning, Design, and Development of an Effective Complaint-Handling Process**

**Company: XYZ Corporation**

**Background:** XYZ Corporation is a leading provider of IT services, with a large customer base spread across various industries. In recent months, the company has noticed an increase in customer complaints regarding the quality of its services and the responsiveness of its support team.

### **Objective:**

To address these issues and improve customer satisfaction, XYZ Corporation decides to plan, design, and develop an effective Complaints-Handling process.



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### Steps Taken:

#### 1. Identifying the Need for Change:

The management team at XYZ Corporation conducted a thorough analysis of the recent increase in customer complaints. They identified a need to revamp their complaints-handling process to address customer concerns more effectively.

#### 2. Understanding Customer Expectations:

XYZ Corporation surveyed its customers to understand their expectations and perceptions regarding complaint handling. They gathered feedback on areas where the company was falling short and identified key areas for improvement.

#### 3. Researching Best Practices:

The management team researched best practices in complaints handling from other leading organizations in the industry. They studied how these organizations managed complaints, resolved issues, and improved customer satisfaction.

#### 4. Identifying Risks and Opportunities:

XYZ Corporation conducted a risk assessment to identify potential risks and opportunities associated with the complaints-handling process. They evaluated both internal and external factors that could impact the effectiveness of the process.

#### 5. Planning and Designing the Process:

Based on their research and analysis, XYZ Corporation developed a comprehensive plan for the complaints-handling process. They designed a streamlined process that involved clear communication channels, efficient handling of complaints, and prompt resolution of issues.

#### 6. Development and Implementation:

The company developed the necessary resources, including training materials and software tools, to support the new complaints-handling process. They conducted training sessions for all employees involved in handling customer complaints.

#### 7. Monitoring and Continuous Improvement:

After implementing the new complaints-handling process, XYZ Corporation established a system for monitoring and evaluating its effectiveness. They regularly reviewed customer feedback, analyzed complaint trends, and made adjustments to the process as needed.

### Recommendations:

Based on their experience in planning, designing, and developing an effective complaints-handling process, XYZ Corporation recommends the following:

1. Regularly review and update the complaints-handling process to adapt to changing customer needs and industry trends.



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2. Provide ongoing training and support to employees involved in handling customer complaints to ensure they are equipped with the necessary skills and resources.
3. Encourage a culture of transparency and accountability within the organization to ensure that all complaints are handled promptly and effectively.

### **Outcome:**

As a result of implementing the new complaints-handling process, XYZ Corporation saw a significant improvement in customer satisfaction. The company was able to address customer complaints more efficiently and effectively, leading to increased customer loyalty and retention.

By planning, designing, and developing an effective complaints-handling process, XYZ Corporation was able to demonstrate its commitment to customer service excellence and maintain its position as a leader in the industry.

## **CASE STUDY #3**

### **Title: Operation of Complaints-Handling Process at ABC Bank**

#### **Scenario:**

ABC Bank is a leading financial institution known for its excellent customer service. However, like any organization, ABC Bank occasionally receives customer complaints. To ensure that these complaints are handled efficiently and effectively, ABC Bank has implemented a robust Complaints-Handling process.

Here's how ABC Bank operates its Complaints-Handling process:

#### **1. Receipt of Complaint:**

Sarah, a customer of ABC Bank, visits her local branch to file a complaint about an unauthorized transaction on her account.

#### **2. Complaint Logging and Tracking:**

The branch staff assist Sarah in logging her complaint into the bank's system. Sarah is provided with a unique reference number for her complaint.

#### **3. Tracking and Regular Updates:**

Sarah is informed that she can track the progress of her complaint online using the reference number provided. ABC Bank's system automatically updates the status of Sarah's complaint at each stage of the process.

#### **4. Regular Communication:**

Throughout the process, Sarah receives regular updates via email and SMS regarding the status of her complaint. These updates include information about the steps being taken to investigate the unauthorized transaction and any expected timelines for resolution.



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### 5. Investigation and Resolution:

ABC Bank's dedicated complaints-handling team investigates Sarah's complaint thoroughly. They review her account activity, gather evidence, and communicate with Sarah to gather any additional information.

After investigating the complaint, ABC Bank determines that the transaction was indeed unauthorized. They promptly refund the amount to Sarah's account and implement additional security measures to prevent similar incidents in the future.

#### Challenges Faced:

Despite the effectiveness of ABC Bank's Complaints-Handling process, there are some challenges that the bank faces:

- a) **Volume of Complaints:** ABC Bank receives a large volume of complaints on a daily basis, which can sometimes overwhelm the complaints-handling team and lead to delays in resolution.
- b) **Complexity of Complaints:** Some complaints require extensive investigation and may involve multiple departments within the bank, leading to delays in resolution.
- c) **Customer Expectations:** Customers expect prompt resolution of their complaints and may become frustrated if their complaints are not resolved quickly.

#### Recommendations for Improvement:

Based on Sarah's complaint and the investigation process, ABC Bank identifies areas for improvement in its operations:

- a) **Enhanced Security Measures:** ABC Bank implements additional security measures to prevent unauthorized transactions, such as two-factor authentication for online transactions and real-time transaction monitoring.
- b) **Improved Customer Communication:** ABC Bank ensures that customers are informed about the progress of their complaints at regular intervals. They also provide customers with a dedicated helpline for any queries related to their complaints.
- c) **Employee Training:** ABC Bank conducts regular training sessions for its staff to ensure that they are equipped with the necessary skills and knowledge to handle customer complaints effectively and professionally.

#### Outcome:

Thanks to ABC Bank's efficient Complaints-Handling process, Sarah's complaint was resolved to her satisfaction. Throughout the process, she was treated courteously, kept informed of the progress



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of her complaint, and provided with regular updates. As a result, Sarah remains a loyal customer of ABC Bank, appreciative of their commitment to excellent customer service.

By operating a transparent and efficient Complaints-Handling process, ABC Bank demonstrates its dedication to customer satisfaction and retention. The bank's proactive approach to addressing customer complaints helps to build trust and confidence among its customers, ensuring long-term loyalty and satisfaction.