Complaint Management

Whitepaper

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eControl

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1 Introduction

Complete complaint management

The eControl Complaint Management system reports and controls all activities that the company initiates to run a successful complaint management system and restore the satisfaction of the customer or complainant.

The eControl Complaint Management system is suitable for both centrally capturing and processing complaints through a complaints office and for local processing at various locations or through different departments.

The eControl Complaint Management system is seamlessly integrated into the operational workflow, which means considerably easier cooperation with the specialist departments involved. As a result, the circumstances can be better analysed and targeted preventative measures introduced to prevent them arising again in the future.

A complaint is often an indicator for a fault in a product or service and thus provides valuable information for the process management system. Depending on the individual complaint this information can also be used, for example, by the safety, security or environment management system through the downstream module integration.

2 One system for all stakeholders

Complainant

The complainant benefits from an increase in service quality and restoration of customer satisfaction through effective complaint processing and a good flow of information.

Complaints department

The complaints department has a comprehensive instrument available for the convenient receipt, management and evaluation of the complaints process.

Specialist department

Cooperation between the complaints department and the specialist departments is made easier and is characterised by an efficient flow of information. Processing is specifically delegated to the specialist department, who can take effective preventative measures on the basis of a root cause analysis.

Information, including that from procedures where work has been divided, is integrated directly into the complaints process in line with auditing requirements and intensifies the information content of the complaint.

Management/administrative department

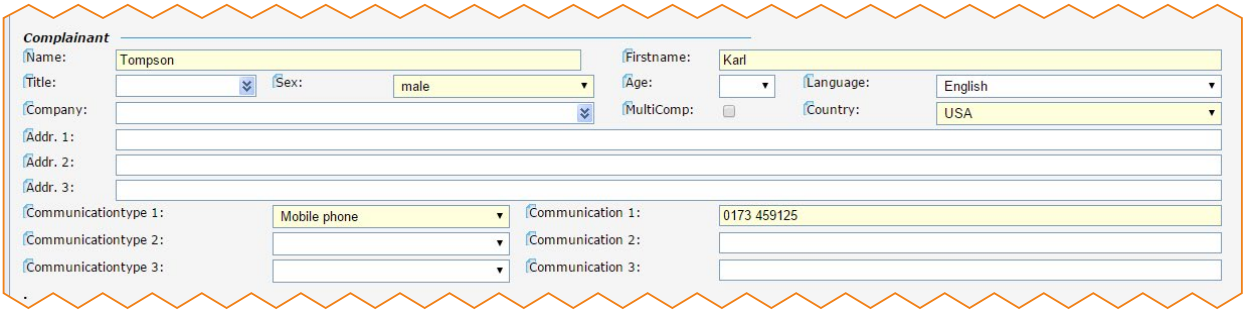
eControl enables the simple filtering of relevant cases according to quality, security or other aspects. The further processing of complaints according to specialist criteria without the effort of duplicating information, loss of information or time delays is another performance feature. A statistical instrument is available to detect correlations and prove the effectiveness of preventative measures.

3 Step by Step

3.1 Step 1: establish the complainant

Prompt and meaningful information about the progress in dealing with a complaint is perceived positively by every complainant. The company takes the customer's complaints seriously and smooths the way for eliminating the complaints and restoring or improving customer retention.

Communication with the complainant crucially depends on the possibility of responding to them in a targeted and correct manner. The required fields can be completed quickly, however there are enough data fields available to be able to store all meaningful and useful information if required.



Identification of repeat complainants

In order to adequately process complaints it is essential to identify complainants who repeatedly complain about the same or similar issues, even though the company is not able or only partially able to solve the complaint. These complainants can cause significant processing costs if they are not identified as so-called multiple complainants and classified with the status "RC" (repeat complainants).

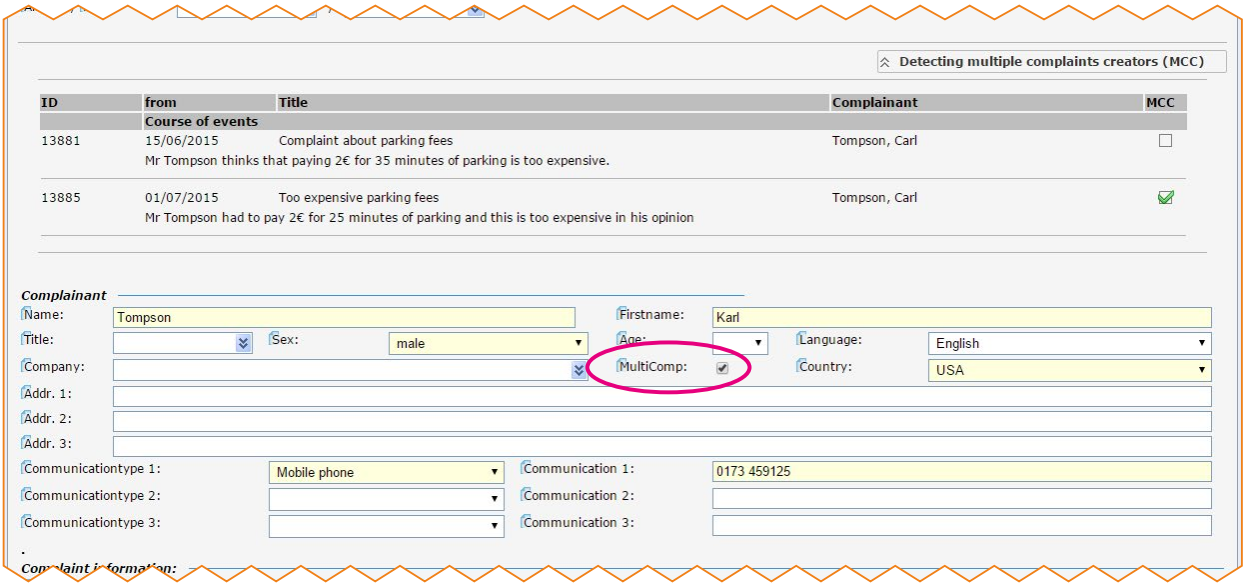
A further problem with repeat complainants arises from a distorted or diluted influence on the complaints statistics – with the systematic classification of repeat complaints using the "RC" status, these complaints can be filtered out in the statistics.

After a click on the button Detecting multiple complaints creators (MCC) the system checks whether there is a match of the following data fields during the data recording:

- **Surname + first name**
- **Telephone number**
- **Fax number**
- **E-Mail address**

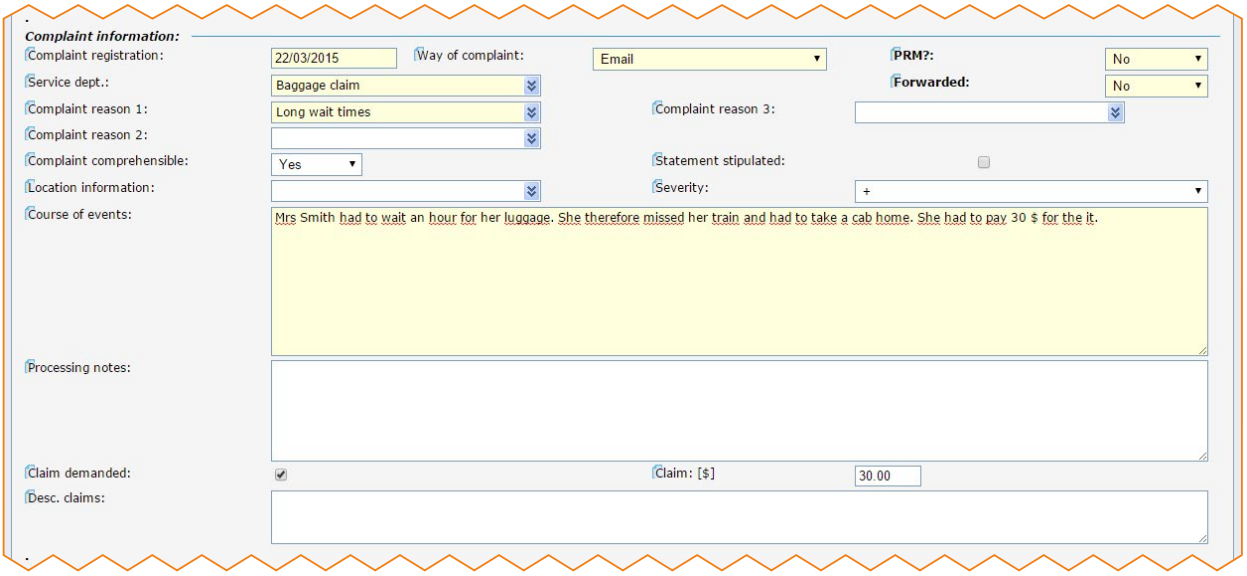
As soon as eControl has filtered complaints that may relate to a repeat complainant, the complaints are presented in a list view.

If it can be clearly gathered from the title and the sequence description that it is a duplicate, the "MultiComp" checkbox must be set in the current complaint. In the statistical evaluation there is the option to ignore this duplicate.



3.2 Step 2: record complaint details

The appropriate recording of the content of the complaint enables third parties to understand the circumstances of the case. This abstraction of the circumstances of the case is a demanding task that requires tact and expertise when talking to customers, as customers who complain are often annoyed.



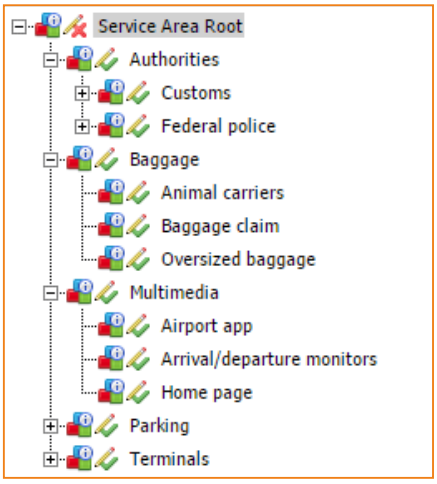
3.2.1 Complaints procedure

The complaints procedures can be tailored to an individual company. In addition to complaints received in the complaints department by e-mail, telephone, post or in person, complaints provided by the customers for subsidiaries, specialist departments, information desks etc. are also conceivable.

3.2.2 Service areas

The service area is a central classification criterion. It specifies the organisational unit in the company to which the complaints are primarily or mainly assigned in terms of content.

The master data of the service areas is a hierarchical structure, which can be adapted freely by the customer to the organisational structure, product structure or other relevant structural elements of the respective company.

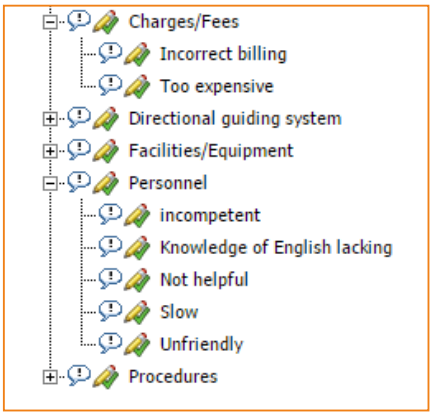


An arbitrary node can be selected in this tree structure. If the complaints generally focus on the subject of “parking” but cannot be assigned to any suitable sub-category, the point “parking” can be selected.

3.2.3 Reasons for complaint

There are often several reasons underlying a complaint, which then stir the complainant into actually making the complaint.

eControl offers the possibility of defining individual hierarchical reasons for complaints as master data according to the respective operational requirements. A maximum of 3 complaint reasons can be assigned per complaint when recording the complaint details.

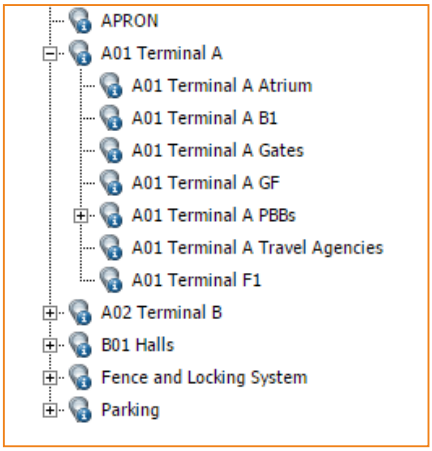


The classification of operational areas and reasons for complaint is an important component for further processing complaint information in terms of the continuous improvement process (CIP) of a customer-oriented complaint management system (cf. e.g. DIN EN ISO 9001:2000 Section 8.5.1).

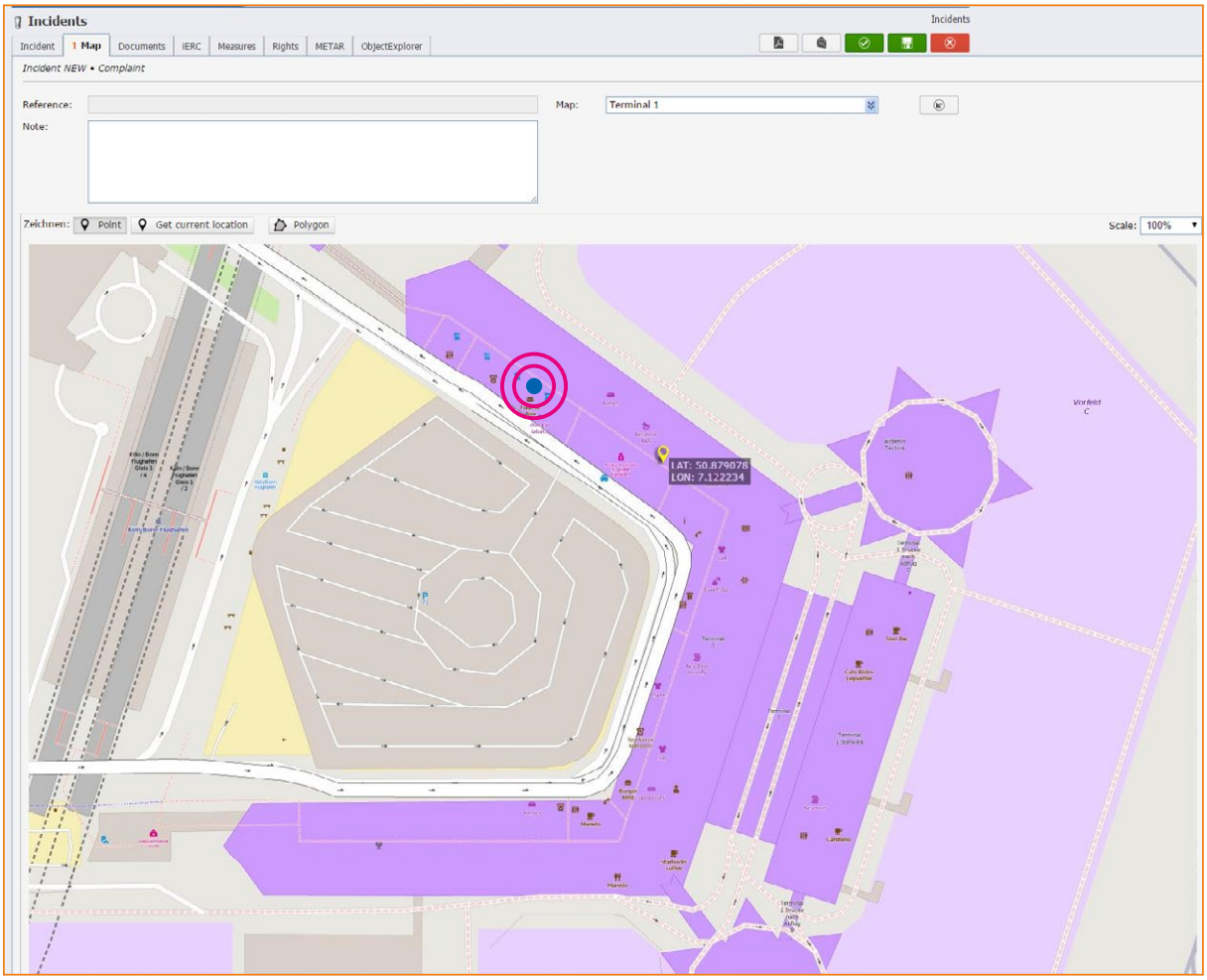
3.2.4 Location information

If required, eControl can take additional location information from a hierarchically organised structure.

Every location from the location information corresponds to a point or area on a map. Through the allocation of the location information, the objects which triggered a complaint can be specifically identified. In this way, the specialist department tasked with performing corrective or preventative measures can be directly informed.



After the allocation of a location, the selected object can be viewed on the “map” tab title:



The establishment of the location makes it possible to identify, at the touch of a button, hotspots or areas that are often involved in complaints by placing a grid over the map during cartographic analysis.

3.2.5 Severity of complaints - set priorities

Cumulative customer complaints that cannot all be processed at the same time may arise from exceptional external influences such as building measures, product launches, organisational changes or restructuring. The prioritisation of complaints enables a basic ranking to be created, which can be used by the specialist department or complaints department to establish a processing order.

The severity classification can be individually determined for specific customers – for example the scheduled maximum processing times can be managed through this.

3.2.6 PRM and Federal Aviation Authority

In June 2012 the interpretative guidelines for application of regulation (EU) No. 1107/2006 regarding the rights of disabled passengers and passengers with reduced mobility (PRMs) was published.

Although complaints by PRMs fortunately form only a very small proportion of overall complaints in practice, eControl offers the possibility of capturing the PRM status in order to better address the needs of this group of people in future.

3.3 Step 3: communication with the complainant

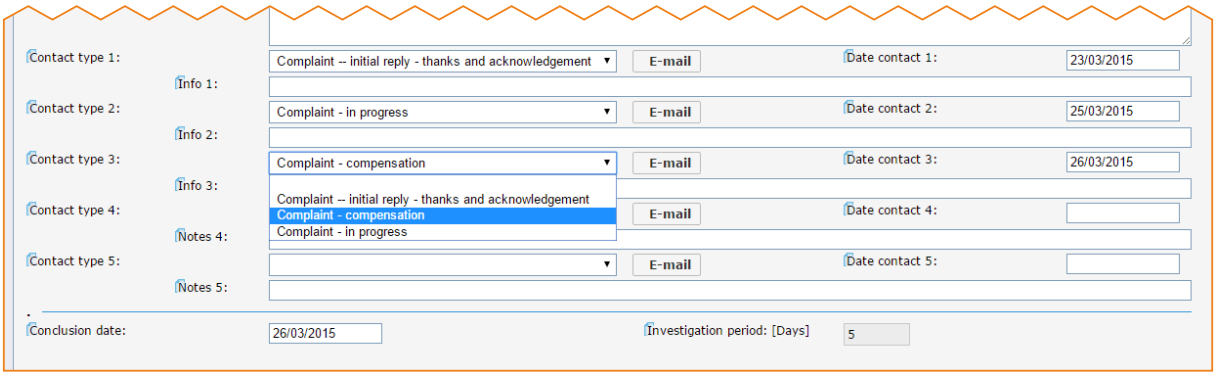
Communication with complainants, who are generally annoyed, is a demanding task and it is essential that "misunderstandings" and "communication problems" are avoided through an appropriate choice of words and phrases.

eControl makes communication with the complainant easier through the elements

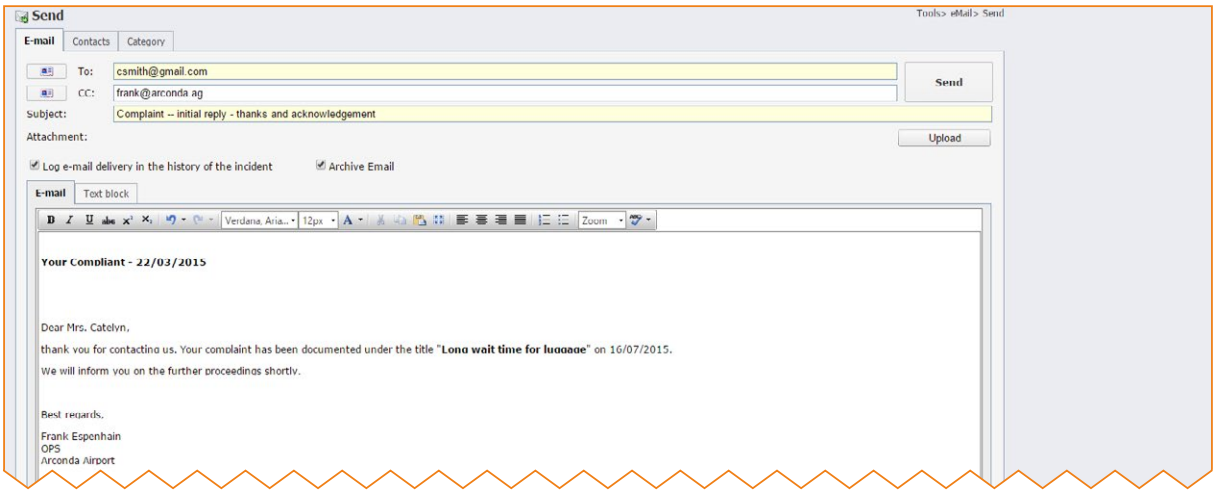
- **Overview of processing status**
- **Form letter generator**
- **Document archiving**

3.3.1 Overview of processing status

The eControl complaint management system offers the possibility of documenting the communication with the respective customer. In doing so eControl supports communication with the customer through form letters, which can be selected from the dropdown list. An additional brief statement can be attached to every form letter giving a brief outline of the message.



A selected form letter is opened automatically in the e-mail dialogue window and is available there for further processing:

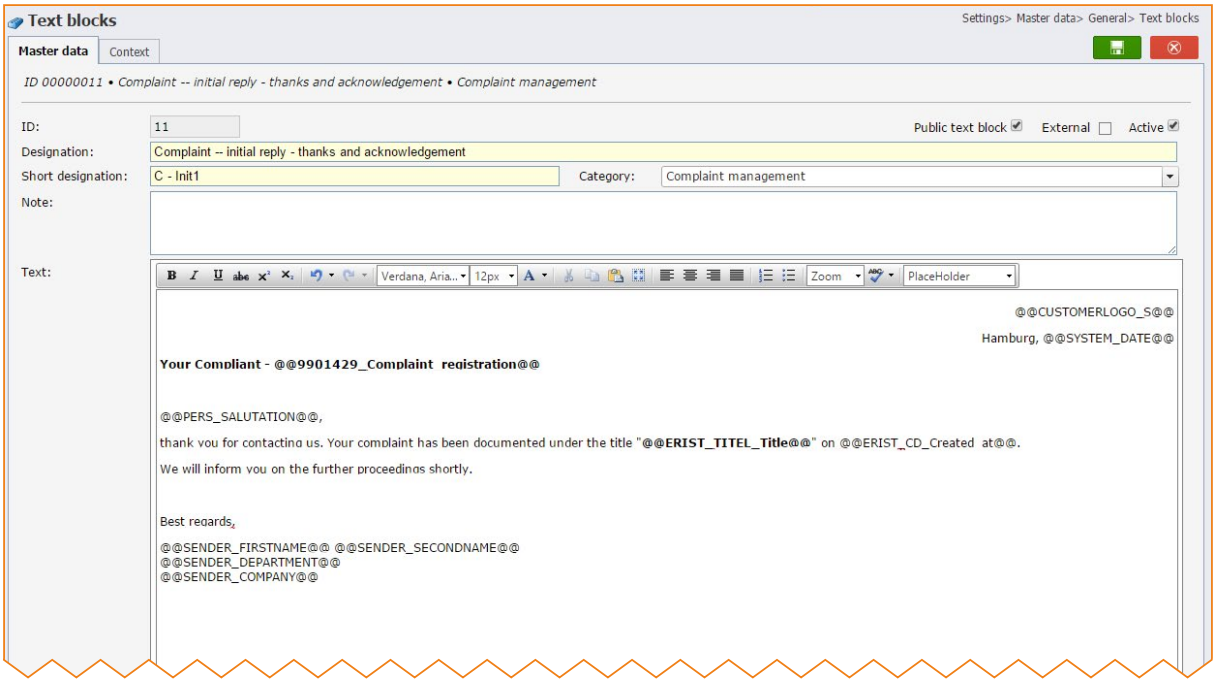


The content can be transferred via copy & paste into a text processing programme if necessary and further processed and formatted in this programme, if it is not to be sent via e-mail but rather by post.

3.3.2 Form letter generator

The eControl complaint management system offers the possibility of depositing an individual form letter for every standard letter or every standard email. These form letters can be marked with placeholders that, when the form letter is called up, are automatically replaced by the system with the field content of the complaint.

The “Text modules” dialogue window is available for defining this personalised, process-specific correspondence.



All eControl users are entitled to use and adapt public form letters. The generation and processing of public form letters in the master data, on the other hand, is reserved for the entitled users.

Private form letters can only be viewed and processed by the respective creator.

eControl administers private and public text modules. A public text module can be submitted by all users, whereas private text modules can only be used by the creator. User rights ensure that public text modules are used in the correct way.

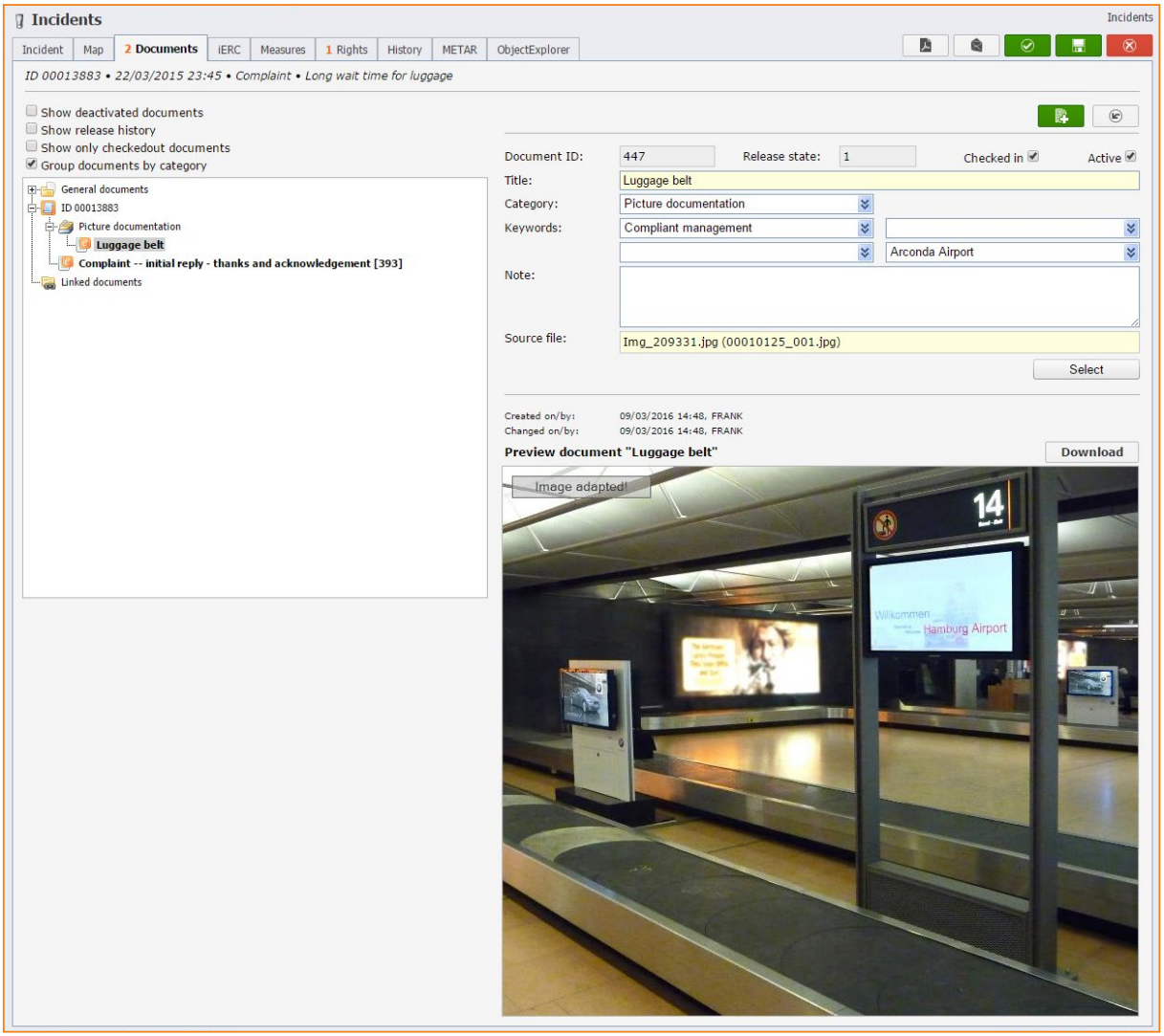
3.3.3 Document archive

The document archive of the complaint management system allows all documents relating to a complaint to be stored centrally together with the form.

Access to this document archive is granted to one of the following departments/positions according to the process, and in doing so the highest data protection requirements are to be applied:

- **Complaints department**
- **Specialist department**
- **Management/administrative department**

Form letters can be stored in this archive if the storage of individual text is necessary. Incoming complaints, third-party statements etc. can also be saved as scans.



3.4 Step 4: define processing method

In general three different processing methods can be defined: Complaints department, Complaints department and specialist department together or processing by the specialist department alone.

The processing method is defined with the initial recording and can be amended according to the requirements during the processing of complaints.

Processing method	Complaint processing by the Complaints department	Complaint processing by the Complaints department together with support from a specialist department	Complaints processing by a specialist department
Brief description	Employee in the Complaints department (Internal Coordinator) can completely resolve the situation him/herself.	Employee in the Complaints department (Internal Coordinator) manages the processing process and draws on the support of a specialist department for expert clarification.	Employee in the Complaints department hands over the processing and management of the complaint to a specialist department, operational area or location through appropriate assignment of an internal coordinator.
Complaint recording	Centrally (by the Complaints department) or locally by the specialist department	Centrally (by the Complaints department) or locally by the specialist department	Centrally (by the Complaints department) or locally by the specialist department
Communication with the complainant as well as management and monitoring of the complaints process	Complaints department	Complaints department	Complaints department

3.5 Step 5: fine-tuning of processing method

eControl has various control elements to adapt the processing methods to the requirements of the respective complaint.

3.5.1 Complaint recording

A complaint can be recorded

- centrally
- locally or as
- a mixture of central and local variants

in eControl. Generally the complaint can be recorded from any workstation in the company. The "Complaints recording" user right is required for recording complaints.

If the complaint is recorded centrally by the Complaints department, the Complaints department employees can usually see and process all complaints.

If on the other hand it is recorded locally, the user rights can be chosen in such a way that the area "Complaints receipt for plant XY" can only see the complaints that were recorded by employees in this area.

After initial recording a complaint automatically has the "Recording" status.

The eControl notifier offers the possibility of informing any employees via e-mail about the recording of complaints, provided that specific notification rules apply (service area, reason for complaint etc...). The notifier then informs the bus driver manager (= User John Doe) if a complaint is recorded for the bus operation service area.

3.5.2 Definition of processing method

The definition of the processing method is carried out by the identification of the internal coordinator or the person responsible for processing.

Upon identification of the internal coordinator a complaint changes to the status "in processing." If an employee from the Complaints department is selected as the internal coordinator, the responsibility for this process lies with the Complaints department. The following processing methods are covered by this:

- Processing by the Compliants department
- processing by the Complaints department with support from a specialist department

If it is established from an organisational perspective that the existing complaint, including all further processing steps, should be delegated to a specialist department, an Internal Coordinator from this specialist department is to be appointed.

If this person responsible for complaints has no general access rights to the complaint management system, authorisation to access individual complaints is granted by event-specific access rights.

The eControl Notifier offers the possibility of informing the internal coordinator via e-mail about the recording of complaints which have been assigned to him:

"Inform John Doe when he has been appointed as the internal coordinator for a complaint."

3.5.3 Range of tasks covered by the internal coordinator

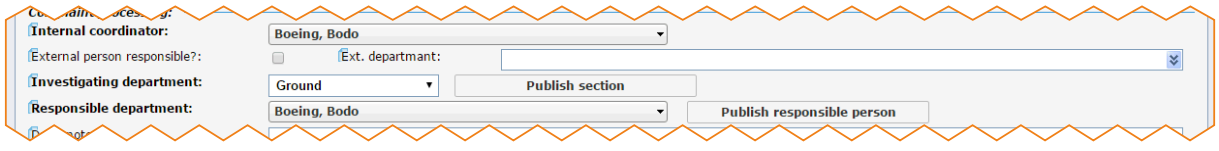
The internal coordinator is responsible for resolving and processing a complaint. This includes the following tasks:

- Ensuring that the complaints are either resolved by him/herself or by an internal or external organisational unit
- Granting of access rights for specialist departments if necessary and taking into consideration the data economy requirement
- Consistent contact person for the complainant
- Ensuring that incoming and outgoing letters, e-mails etc. are saved as documents, if this seems to be advisable based on the severity of the complaint.
- Ensuring that corrective or preventative measures about measure management are introduced
- Control of processing progress or complaint status
- Monitoring of processing duration of a complaint

3.5.4 Support by specialist department

Support by a specialist department is established by assigning a "Processing area" business area or specifying a person with "Responsibility for the area".

A click of the Publish section button or Publish responsible person results in appropriate user rights for the person responsible or the selected operational area being set by the system.



The granting of authorisations can be carried out several times in a row and for several people and areas.

Additional areas and persons are authorised when the button is activated; previously granted authorisations are not withdrawn. If this is necessary, this can of course be carried out manually with a few mouse clicks.

In the following example only "Ampere, Peter" has access to the complaints. He can later decide which employees in his area should actually carry out the processing and change the person responsible for the area. From a technical point of view, he can independently grant additional reading and writing rights to the respective complaint.

3.5.5 Complaint processing

Within the context of complaint processing, all information is compiled in eControl for clarification of the facts and resolution of the complaint. The complaints form is summarised together with external documents and other data in an electronic file (eFile).

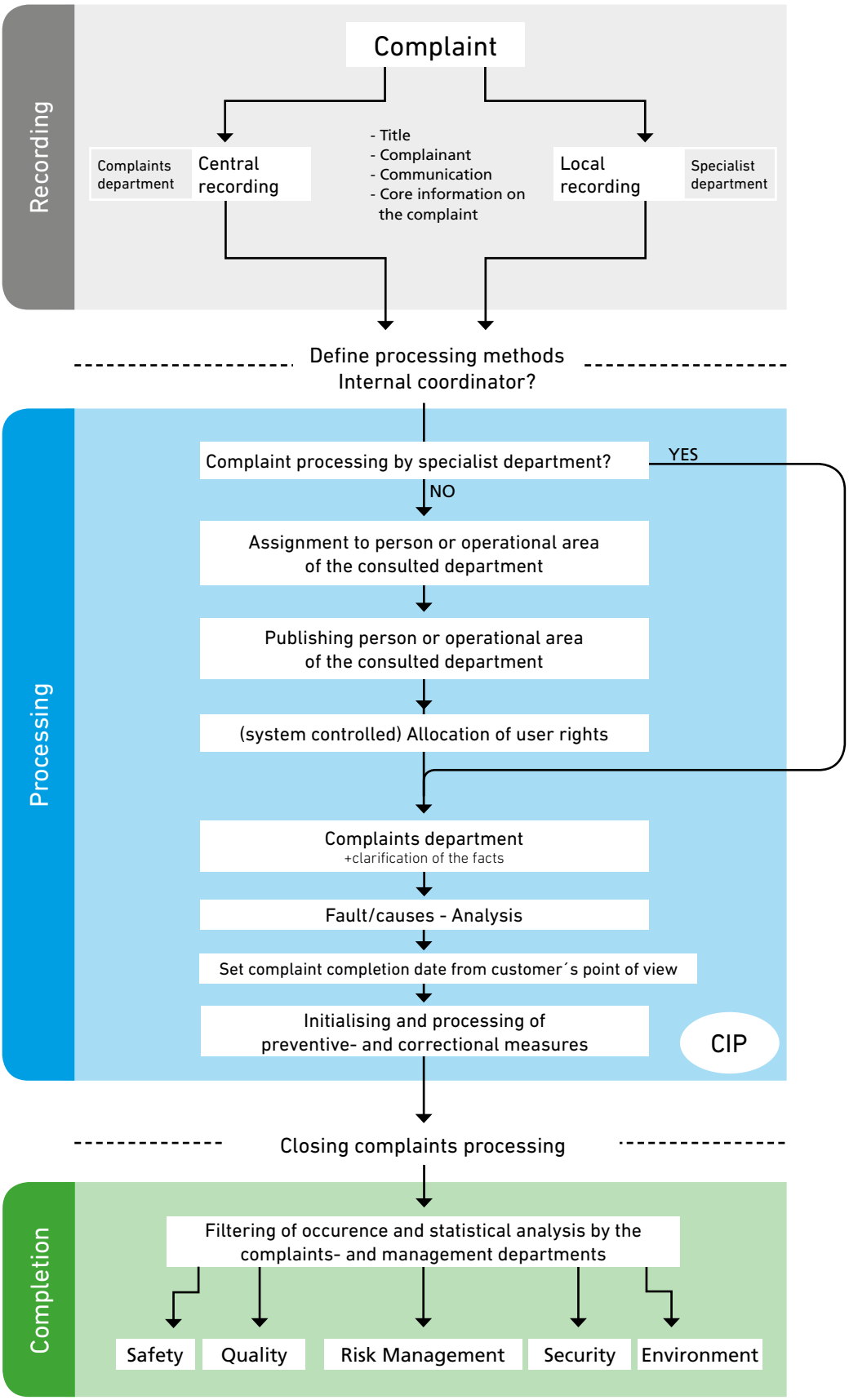
The coordinator responsible for processing – provided that this seems meaningful for the complaint – will carry out an error/cause-analysis or root cause analysis, in order to initiate effective corrective and preventative measures.

The further processing steps are no longer relevant for the complainant or customers. This means that the complaint completion date can now be set from the customer's point of view, which is significant for monitoring the processing period.

3.5.6 Further processing of the complaint - from the customer´s point of view

The following specialist departments use – taking into account data protection requirements – the data stream and can semi-automatically filter the complaints that are of interest with regard to the respective management function.

- Safety Management
- Work protection
- Security management / safety
- Environment
- Risk Management


Recording
Complaint
- Title
- Complainant
- Communication
- Core information on the complaint
Complaints department
Central recording
Local recording
Specialist department
Define processing methods
Internal coordinator?
Processing
Complaint processing by specialist department?
YES
NO
Assignment to person or operational area of the consulted department
Publishing person or operational area of the consulted department
(system controlled) Allocation of user rights
Complaints department
+clarification of the facts
Fault/causes - Analysis
Set complaint completion date from customer´s point of view
Initialising and processing of preventive- and correctional measures
CIP
Closing complaints processing
Completion
Filtering of occurence and statistical analysis by the complaints- and management departments
Safety
Quality
Risk Management
Security
Environment

3.6 Step 6: measures management

eControl makes available to the responsible internal coordinator data fields for documenting an error/cause analysis.

In the area of aviation, eControl measures management meets the standards of the IATA, ICAO as well as the regulations of the EASA (inter alia Annex to ED Decision 2012/007/R v. 19.04.2012 ORA. GEN.150).

eControl leads the user to the goal-oriented use of the formal procedure - the root cause analysis - and documents the approach for verification. The following data fields are available for the storage of errors or deviations and their causes or analysis, as well as for the countermeasures introduced and also for an evaluation of the effectiveness of these measures:

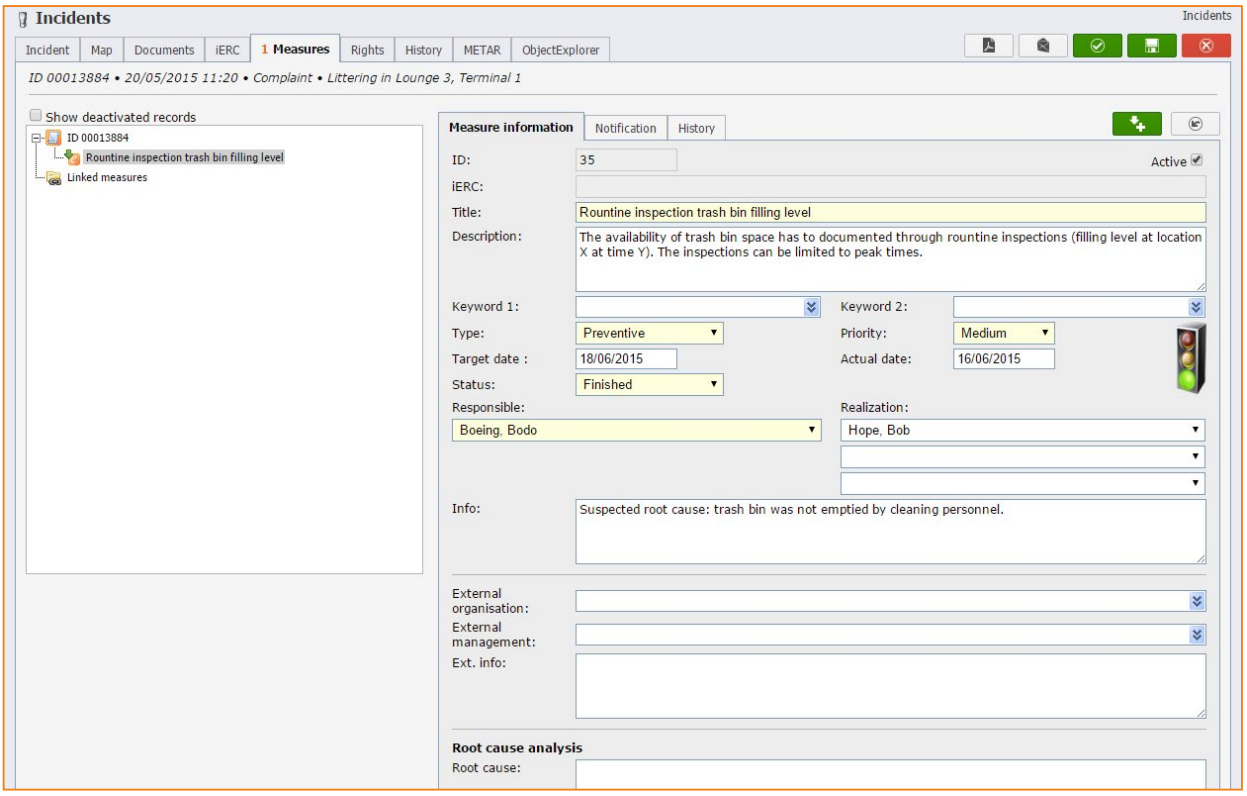
- **Root cause**
- **Development of a corrective action**
- **Implementation of the corrective action taken**
- **Monitoring and evaluation of the corrective action**

In addition to the root cause analysis, eControl measure management serves as a coordination instrument for the planning, allocation, tracking and documentation of all complaints management measures, where both the employees responsible and the employees doing the work are allocated. These employees do no need to know the exact connection between the activities assigned to them and the respective complaint. The exact description of the task is of prime importance as a prerequisite for successful completion.

In principle the description of the measures can be read by both those responsible and the employees doing the work. Authorisations to access the complaint and the personal data are not necessary for this purpose.

An important feature of eControl measures management is notification management – employees involved are automatically informed in full about the allocation, completion of measures and, if desired, missed deadlines.

In the following example, the Internal Coordinator delegated “Routine checks of luggage availability” to the employee “Boeing, Bodo”, who should carry this out along with the employees “Consultant Jones, Richard” and “Jumbo, Julia”:



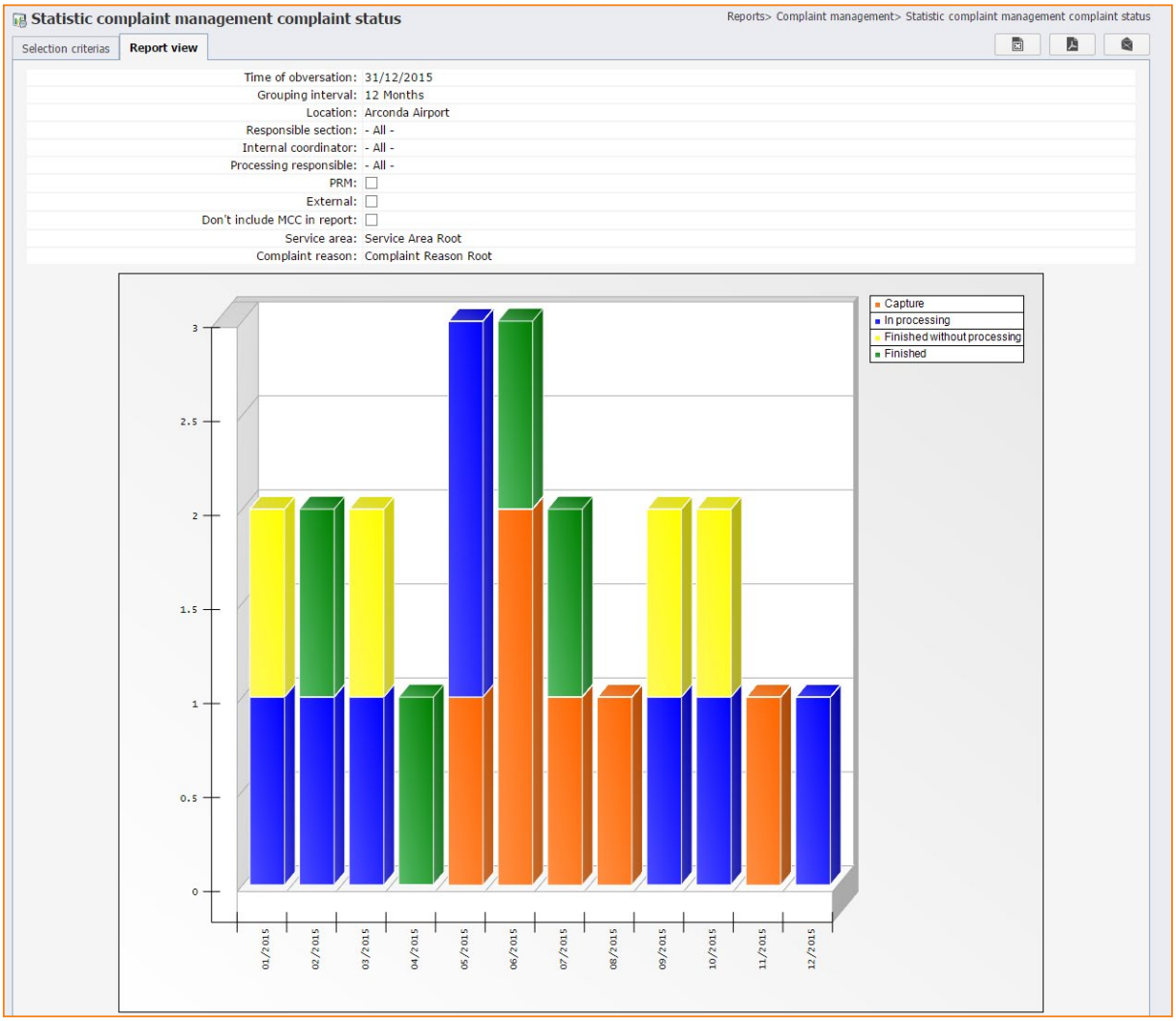
3.7 Step 7: reporting

There are standard reports, location statistics and complaint-specific evaluations available for the reporting of complaints.

3.7.1 Complaint-specific evaluations

The complaints management module includes the following reports and statistics:

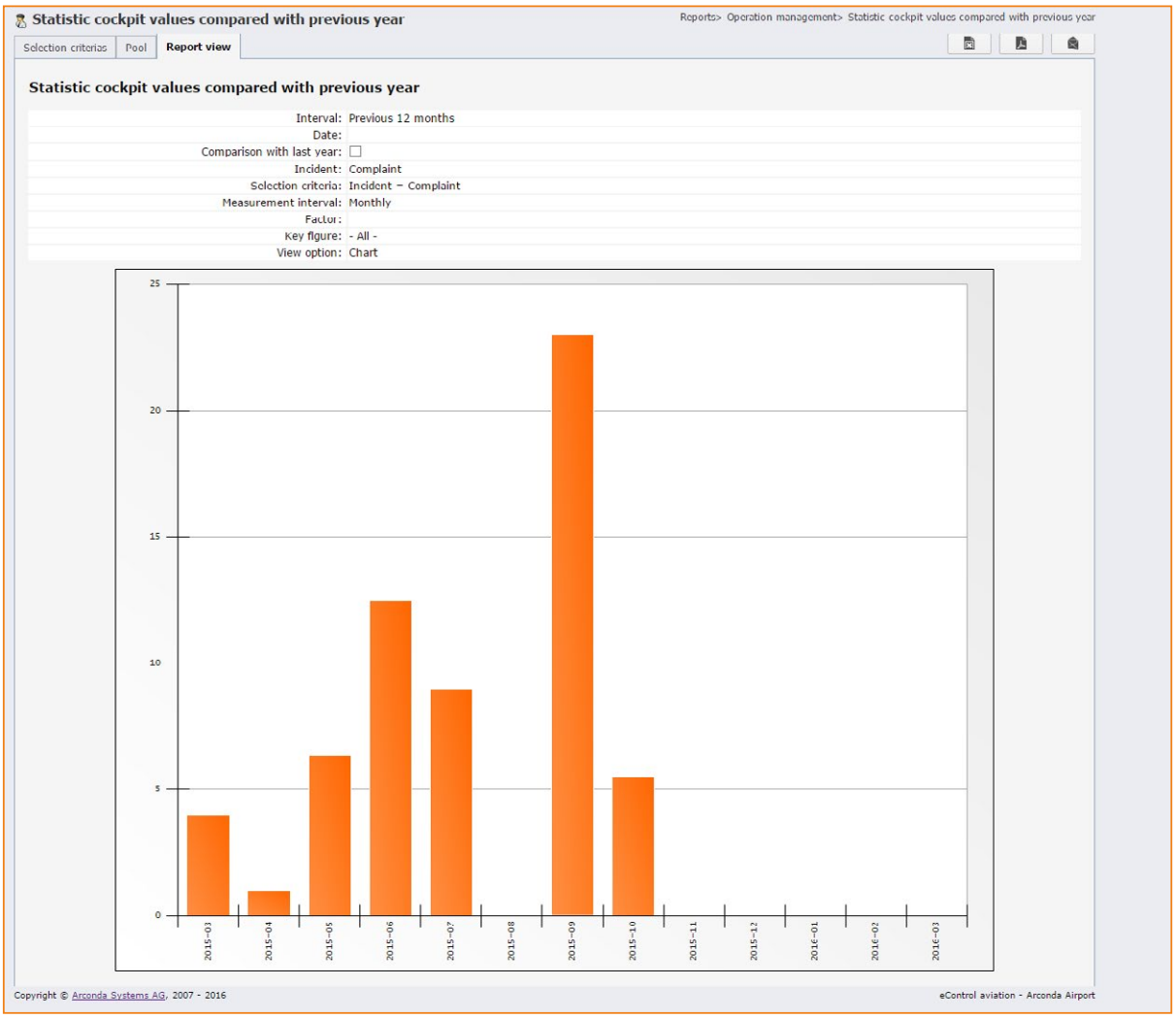
- Complaints management statistics: reasons for complaint
- Complaints management statistics: processing status
- Complaints management statistics: evaluation
- Complaints management statistics: service areas
- Complaint details report
- Structural representation: service areas
- Structural representation: reason for complaint



3.7.2 Standard reports

eControl has more than 150 report generators for trend analyses, evaluation of individual data fields, time distributions etc. that can be used to analyse complaint information.

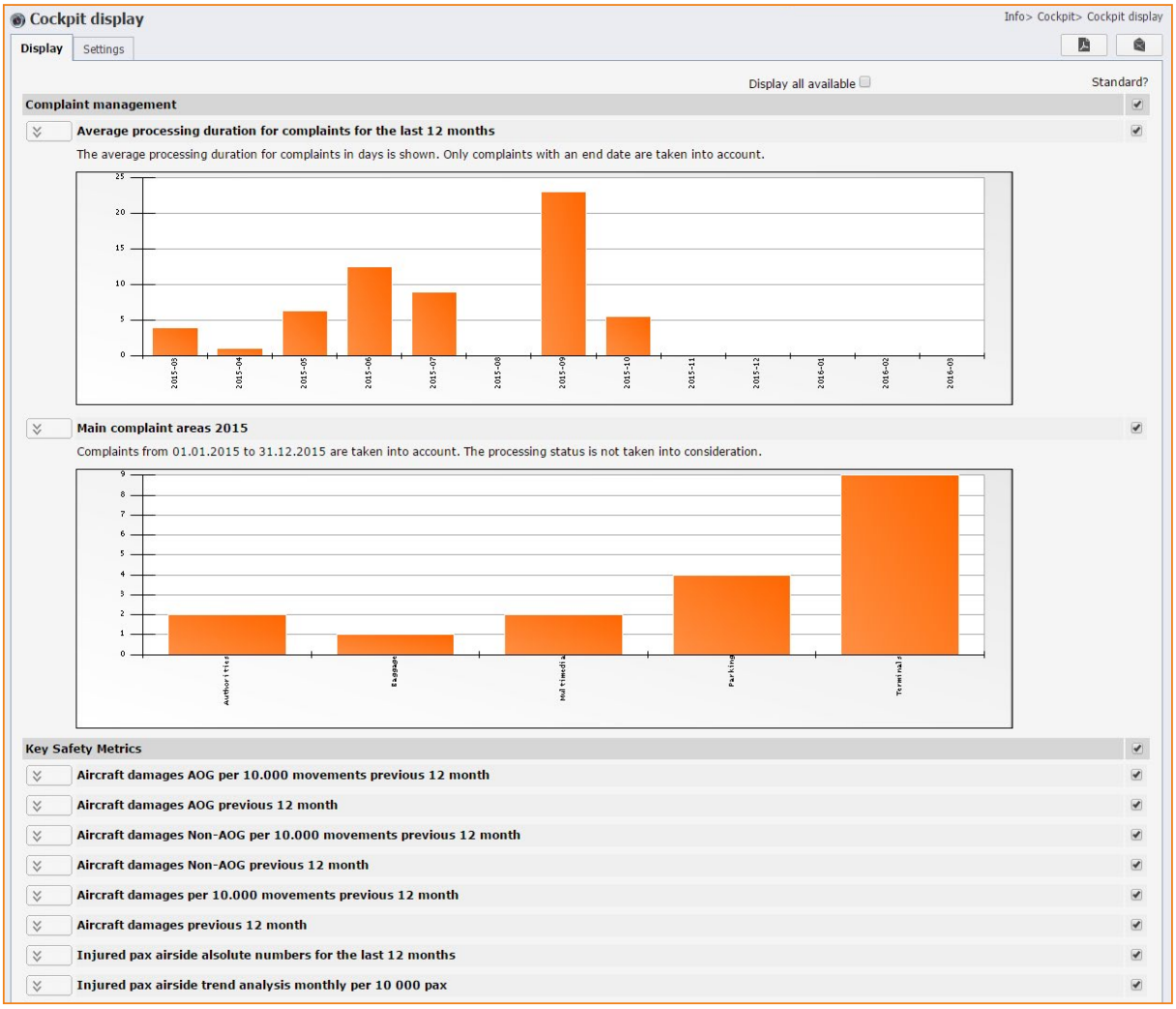
In the following example, the average processing duration is determined in days for all complaints that show a completion date.



3.7.3 Indicators and CPI´s

Cockpit statistics enable the targeted publication of up-to-date figures and statistics for system users. The cockpits include professional explanations and can be retrieved by assigned users without any statistical knowledge.

In the following example, complaints are listed and assigned to the main service areas. Cockpit statistics are automatically updated in full by the system once a day and are available in a fully edited form for the authorised user.



4 Data protection

A lot of personal or individual-related data is stored when processing complaints.

The eControl system acts as an incident management system for various procedures, in order to meet the highest data protection requirements. With eControl, data protection and process requirements can be consolidated in such a way that, in addition to the Federal Data Protection Act, the requirements of the operational codetermination bodies can be fully taken into account.

In general eControl offers

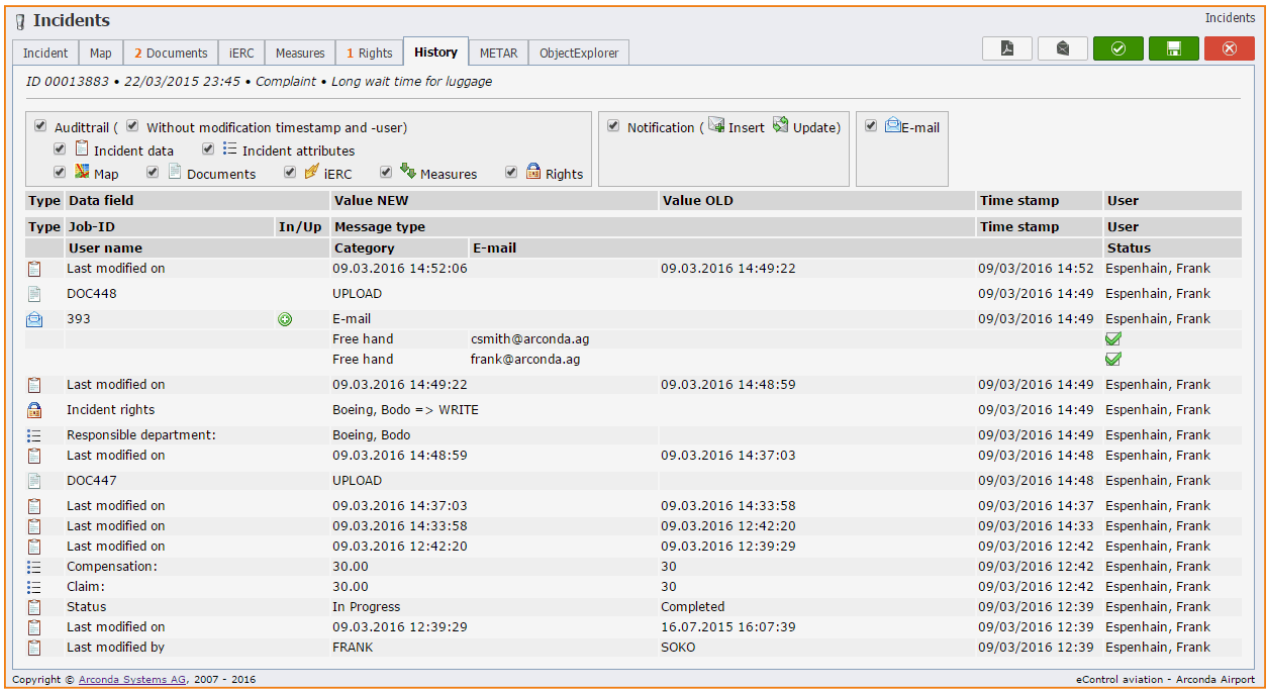
- **Data access rights: access restrictions depending on the data owner**
- **User rights for programme functions**
- **Individual event rights: specific authorisation of special people or groups of people to individual processes**
- **Workflow rights: granting of reading and writing rights to field levels**
- **Time-controlled authorisation system: avoidance of unwanted performance controls**
- **Release logic: check logic for sensitive cases**

5 Compliance with audit requirements

The eControl system complies in full with audit requirements and offers an audit trail for all data recordings and amendments that will stand up in court.

The documentation of all data recordings and amendments is automatically and independently performed in full by the underlying OracleTM database. For every transaction a record is kept by the database of who recorded which information and when, which means that the data status can be recorded before and after the amendment.

The processing history, including e-mails sent and automatic system notifications, are made available for every electronic complaints form in a way that can be understood by the user. eControl therefore maintains transparency in a collaborative environment and makes it easier to delegate responsibility in relation to complaints management:



eControl

Process Management | Operation Management | Safety Management | Audit Management | Qualification Management | Compliance Management | Environmental Bird Control Management

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