



**DISTRICT OF COLUMBIA GOVERNMENT  
OFFICE OF RISK MANAGEMENT**

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Phillip A. Lattimore, III  
Chief Risk Officer

**D.C. OFFICE OF RISK MANAGEMENT  
ADMINISTRATIVE ISSUANCE SYSTEM**

Administrative Order No. AO-13-02

Date: February 7, 2013

SUBJECT: Procedures for Complaint/Compliment Handling and Log Maintenance

ORIGINATOR: Phillip A. Lattimore III, Chief Risk Officer/ Director

DISTRIBUTION: ORM Personnel and Non Personnel

EXPIRATION DATE: Until Superseded or Rescinded

**1. Purpose**

The purpose of this D.C. Office of Risk Management (ORM) Administrative Order (Order) is to set forth this agency's policy concerning the procedure for handling customer complaint grievances as well as compliments. ORM will resolve and keep a record of all complaints and/or compliments. *See Attachment A.* This Administrative Order incorporates the customer service standards that are set forth in ORM Administrative Order 11-04 (May 31, 2011).

**2. Applicability**

Until further modified or rescinded, this Order applies to all ORM personnel and non-personnel employees.

**3. Appointment**

Valerie Evans, Office Manager, is hereby designated as the ORM Customer Service Liaison (CSL).

**4. Policies**

**a. Purpose and Responsibilities**

- (1) This procedure is designed to implement the provisions for Customer Service Operations within ORM.

A complaint is defined as either a *verbal communications or written correspondence that primarily expresses a grievance or dissatisfaction*. Since every contact by a customer questioning some action by the District/ORM does not constitute a complaint, upon receipt of a complaint, ORM staff will review the document to determine if it either an inquiry or a complaint.

The essential question is “has the customer expressed a grievance or dissatisfaction and is action necessary to investigate or rectify the problem?”

A proper record of complaint serves the following purpose:

- (1) It permits management to quickly determine how well ORM is doing in its dealings with the public and ensures that the agency is consistently responsive and accountable when contacted. It assists ORM with overseeing the performance of its Third Party Administrator (TPA) and its staff.

A record of compliment demonstrates how well ORM has met and or exceeded Customer Service standards.

- (2) A compliment is defined as *an expression of esteem, respect, affection or admiration*. (Reference: Webster's Dictionary, available at <http://www.merriam-webster.com/dictionary/compliment>) Compliments shall also be monitored as a measurement of agency job performance.

**b. Complaint Resolution Timeframe**

The original complaint form shall be recorded in the Complaint Record Log and maintained by the CSL. Complaints requiring action by the agency shall be acknowledged or responded to within two (2) business days by the CSL. This acknowledgment is necessary to manage the complainants' expectations and to make them aware that the agency/individual has received the complaint and is working to resolve it. The notice shall contain at a minimum the following:

1. Acknowledgement of Complaint (restate the issue).
2. Timeframe for issue-resolution (three (3) to five (5) business days).
3. Contact person's name, telephone number, and email address.
4. Tracking /identification number for requestor to follow up.

The acknowledgement can be in the form of a letter, email, fax or phone call, and should be documented within the tracking system. If the complaint is not resolved within the timeframe specified, the CSL will contact the complainant and provide a status update and expected date of resolution.

**c. Maintenance of the Record for Complaints**

The complaint record shall be maintained by each calendar year and data about complaints shall be compiled not less frequently than monthly.

**Complaint Record Format Log**

(A) Complaint /Complaint Number	(B) Date Rec'd by ORM	(C) Complaint Confirmed	(D) Last	(E) First	(F) Claim Number/(NA)	(G) Complaint Type	(H) Function Code	(I) Reason for Complaint	(J) Complaint Form	(K) Specialist Assigned to Complaint (if applicable)	(L) ORM Action	(M) Date of Resolution	(N) Date of Resolution
123	Xx/xx/11	xx/5/2005	Dob	John	AFDDDH0099576	Auto PD Claim	1B	Delay of Investigation	Call Center	Lucy Mason	2.No action deemed necessary	XX/5/2005	11/11/xxxx

**Explanation**

The CSL shall document the record of complaint utilizing the explanation codes provided below.

Column

- A. Complaint Number - This refers to the sequence number of the complaint.
- B. Date Received by ORM- Date the complaint was officially received ORM.
- C. Complaint Confirmed - Date that the complaint was formally acknowledged (i.e. letter) if applicable.
- D. Last – Surname of complainant
- E. First – First name of complainant.
- F. Claim/IQ# Number – Refers to claim number assigned in the Third Party Administrator's (TPA) claim system or the Mayor's IQ system.
- G. Complaint Type – Refers to the type of claim.
  - 1. Workers' Compensation
  - 2. Tort Liability (bodily injury, property damage, negligence, etc.)
- H. Function Code – Complaints are to be classified by a function code, which states the reason for the complaint. There are three main classifications that are used in this office:

1. Claims
  - 1A. Claims Procedure
  - 1B. Delays
  - 1C. Unsatisfactory Settlement/Offers
  - 1D. Denial of Claim
  - 1E. Termination of Benefits
  - 1F. Nonpayment
  - 1G. Miscellaneous
2. Customer Service
  - 2A. Failure to Respond to Request/Complaint
  - 2B. Unreturned Phone Calls
  - 2C. Delay in Service
  - 2D. Unprofessional Service
  - 2E. Notice of Determination not Provided
  - 2F. Miscellaneous
  - 2G. Outstanding Service
3. Miscellaneous (not covered by above)
  - I. Reason for Complaint– Briefly explain the reason why the complaint has occurred.
  - J. Complaint/Form – Refers to source of complaint/compliment (i.e. email, letter, phone, etc).
  - K. Specialist Assigned to Complaint – Name of the Specialist handling the complaint/compliment.
  - L. ORM Action – Explanation of action taken to resolve the complaint.

M. ORM Disposition – The complaint record shall note the disposition of the complaint.

The following examples illustrate the type of information called for in column M, but are not intended to be the required language or to exhaust the possibilities:

1. Corrective action taken
2. No action deemed necessary
3. Satisfactory explanation was given to complainant.

N. Date of Resolution – This refers to the date on which the complaint was resolved or closed by one or more actions.

**d. Maintenance of Record for Compliments**

**Compliment Record Format Log**

(A) Compliment Number	(B) Date Rec'd by ORM	(C) Last Name	(D) First Name	(E) Claim Number/(QA)	(F) Division	(G) Function Code	(H) Reason for Compliment	(I) Compliment Form	(J) Specialist Assigned to Compliment (if applicable)
123	X/10/11	Deo	Jane	APDDCH0000570	Tort, WCP,RIAC	1B	Excellent investigation	Call Center	Lucy Mason

Column

- A. Compliment Number - This refers to the sequence number of the compliment.
- B. Date Received by ORM- Date the compliment was officially received ORM.
- C. Last – Surname of claimant or individual
- D. First – First name of claimant or individual.
- E. Claim/IQ# Number – Refers to claim number assigned in the Third Party Administrator's (TPA) claim system or the Mayor's IQ System.
- F. Division – Refers to the division receiving the compliment
  1. Public Sector Workers' Compensation Program
  2. Tort Liability (bodily injury, property damage, negligence, etc.)

G. Function Code – Compliments are to be classified by a function code, which states the reason for the compliment. There are three main classifications that are used in this office:

1. Claims

1A. Claims Procedure

1B. Timeliness in Handling Claim

1C. Thoroughness in Handling Claim

1D. Efficient Claims Handling

1E. Miscellaneous

2. Customer Service

2A. Response to Claimant

2B. Return of Phone Calls/Messages

2C. Resolution of Concerns

2D. Professional Service

2E. Outstanding Service

2F. Miscellaneous

3. Miscellaneous (not covered by above)

H. Reason for Compliment– Briefly explain the reason why the compliment has occurred.

I. Compliment/Form – Refers to source of compliment (i.e. email, letter, phone, etc).

J. Specialist Assigned to Compliment – Name of the Specialist handling the compliment.

#### **e. Complaint/Compliments Handling Procedures**

The following steps will be used to complete and track complaints and compliments:

## **I. Employee Procedures**

- a) Employee receives initial complaint or compliment.
- b) Employee will forward information to Customer Support Liaison (CSL) through the Complaint/Compliment Form or email (whether received by phone, mail, etc.) The CSL's role is solely to track and maintain records of each complaint or compliment. The Specialist or Supervisor shall take the lead on resolving the issue as the subject matter expert. The Specialist shall keep the CSL informed about the outcome of the complaint until it is fully resolved within the specified timeframe.
- c) Employees shall include all pertinent information and supporting documents. For complaints, please include information from column's A-N listed on the Record Format log with corresponding supporting documents. For compliments, please include information in column's A-J.
- d) The employee should also include a plan of action for each complaint. The CSL will be advised if additional information is required to initiate investigation and handle the complaint. This step does not apply to compliments.

## **II. Third Party Administrator**

- a) The TPA Manager of the Public Sector Workers' Compensation Program shall submit a backup report on the 1<sup>st</sup> of each month to the CSL of every complaint or compliment with the required information in sections C and D. This is to ensure that all issues received by the TPA are being reported and tracked.

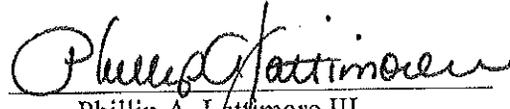
## **III. Customer Service Liaison**

- e) The CSL will send acknowledgement to Complainant and copy the Adjustor/Specialist. Complainant shall be advised whether additional information is required to aid in the resolution of the complaint.
- f) If additional information is required, CSL will advise the complainant or employee to provide documents immediately. CSL will set a diary to follow up on the request within five (5) business days.
- g) The CSL will log the complaint or compliment information and record/file accompanying documents in the appropriate Record Log. This is the only necessary documentation for compliments.
- h) Upon receipt of the requested information, the CSL shall forward the documents to the Specialist to complete the investigation and to aide in resolving the complaint. The Specialist shall inform the CSL of the outcome of the resolution to update the Complaint Record Log.
- i) The CSL shall send a written notice of the complaint's resolution to the complainant, with supporting documentation provided by the Specialist or Supervisor. The notice shall resolve all concerns raised in the initial complaint.

- j) On a monthly basis, the CSL will submit a compilation report to Phillip A. Lattimore, Director and Amy Mauro, General Counsel and other management staff as directed.

6. **Effective Date**

This Order shall become effective on February 7, 2013.

  
Phillip A. Lattimore III  
Chief Risk Officer

**Acknowledgment Form**

I acknowledge that I have received a copy and reviewed ORM's Administrative Order No. AO-13-02, dated February 7, 2013.

I understand that I should direct any questions regarding this ORM Administrative Order to my immediate supervisor, or to the General Counsel within ORM.

\_\_\_\_\_  
Employee's Printed Name

\_\_\_\_\_  
Employee's Signature

\_\_\_\_\_  
Date

**Distribution:**

Copy to Employee; Copy to Agency Human Resources Advisor