Complaint Management System
User's Guide

Contents

Overview

The Complaint Management System allows credit unions to enter, track, assign, resolve and report on member and non-member complaints that are submitted to the credit union.

The Complaint Management System is part of ComplySight, but because the Complaint Management System serves a completely different function and purpose than the Compliance Review and Grading system, the dashboard, menus, file manager, notifications and all other functions are separate from the Compliance Review and Grading portion of ComplySight. The only crossover between the Complaint Management System and Compliance Review and Grading system is in the L1 area to manage users.

Once Complaints are created and assigned to a user, email notifications will let the employee assigned (and the employee who made the assignment) know that the assignment has been made. Emails will also notify if a Complaint due date is overdue, if updates or additional information have been added to a Complaint, or if the status of the Complaint has changed. Because of the potentially sensitive nature of the information that a Complaint may contain, the email provided will not contain all the information, documents or comments. The user will need to login to review the full contents of the Complaint, but a link is provided to help users quickly open the Complaint they want to review.

Complaints in the system can be reviewed, edited or closed. Filters, sorting and a search allow users to easily find the specific Complaints they want to review. Comments and files can be added to Complaints to document the situation and any communications between the credit union and the person lodging the Complaint. There is an area to document corrective actions, if any are needed. Comments and documentation can also be added if any additional information arises after the Complaint has been closed.

Reporting is available to provide an overview of the Complaints. Filters will allow you to narrow down the specific list of Complaints you would like to see. The Complaints report can also be exported in Excel or PDF format.

For more information on ComplySight and the Complaint Management System, including complete video training to help you learn to use the system, please visit our website at www.leagueinfosight.com or contact us at info@complysight.com.

Setting up Users for the Complaint Management System

Complaint System Access Levels

CMA– the Complaint Management Administration (CMA) access level provides full and unrestricted access of the Complaint System. A CMA can create, assign, manage and delete Complaints as well as manage Member/Non-Members, Branch locations and Sub Categories. Employees who are provided CMA Access will have significant authority so should be employees who have a high level of trust and manage complaints at the credit union.

CMU– the Complaint Management User (CMU) access level is a very limited level of access within the Complaint System. A CMU will only be able to see information about those Complaints to which they have been assigned. Within an existing Complaint that is assigned to them, a CMU can only add information to the Record of Response fields, which includes adding comments and associating files. A CMU can also mark a Complaint as "Ready for Review" which will notify the CMA who assigned the Complaint that it is ready to be reviewed. A user with CMU access cannot create a Complaint or delete a Complaint. A CMU cannot change any fields on an existing Complaint or add information to a Complaint once it has closed. They cannot manage member/non-members, branch locations and sub-Categories.

Both CMA and CMU access levels can upload files through the File Manager and manage their own files. Users with either access level could be granted File Manager (FM) rights, which would allow those users to manage the files uploaded by other users.

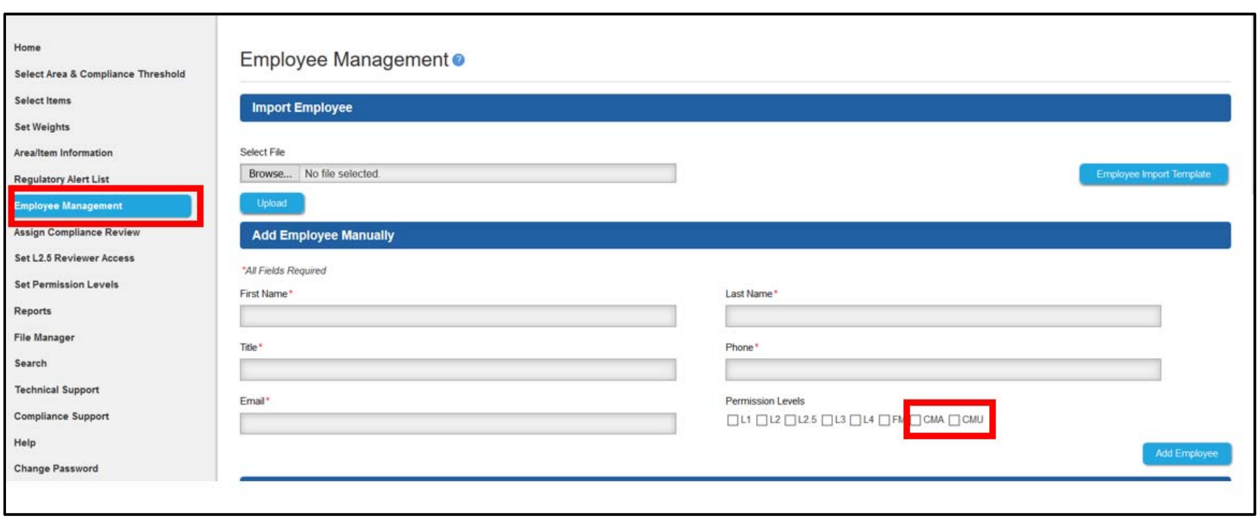
Setting Up Users

You must be logged in as an **L1 user** to set up users for the Complaint system.

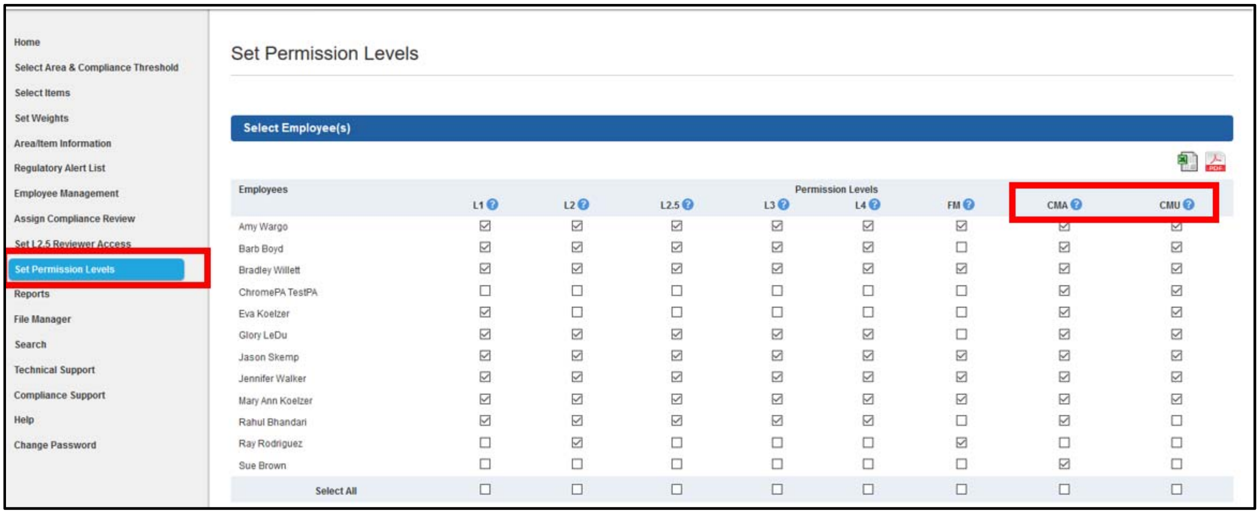
Users can be set up through **Employee Management**, which is used to set up a new user that is not already in the system, or through **Set Permission Levels,** where existing users could be added as a Complaint Management Administrator (CMA) or Complaint Management User (CMU).

Logged in as L1

Use **Employee Management** to set up new users for the Complaint System



Use **Set Permission Levels** to add access to the Complaint System for existing users



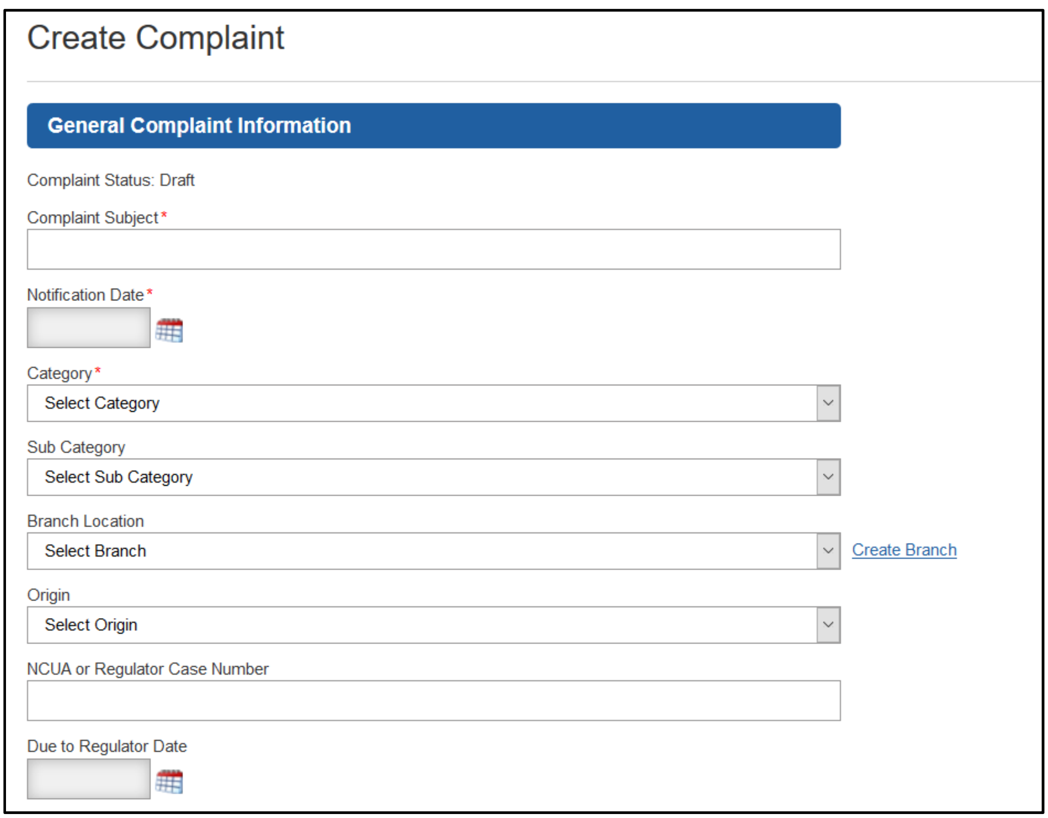
Creating A Complaint

You must be logged in as a CMA to create a Complaint.

Click on the **Create Complaint** item in the navigation menu and begin filling out the form.

Fields on the Complaint Form

General Complaint Information Fields (those marked with an * are required fields)



- **Complaint Status -** This will start as Draft, but once the Complaint is Saved, Previewed and Sent to the employee assigned, this will change to In Progress, then later could be Overdue, Ready for Review or Closed.

- **Complaint Subject*** - Add a subject for the Complaint. The subject should be descriptive, but should not include any sensitive information such account numbers or member names, as the subject of the Complaint is included in email notifications.

- **Notification Date*** - this is the date the credit union is notified of the Complaint, which can be backdated if necessary

- **Category* -** Choose the category into which this Complaint relates.. The Categories are pre-defined and cover a broad range of areas that might be of concern.

- **Sub Category** – Sub Categories are defined by the credit union and are associated with the selected Category. By default, there are no existing SubCategories, but they can be added at the point the Complaint is being created or can be created at any time using the Manage Sub Categories navigation item. Once a SubCategory is created, it will then be available on the dropdown list for that Category going forward. For more information on creating a Sub Category, see the “Creating Sub Categories” video training.

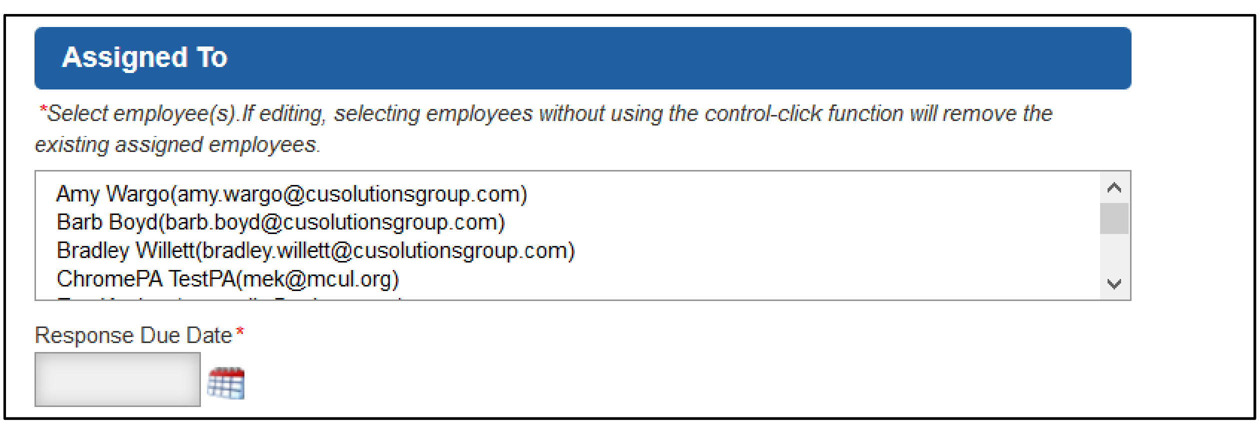
- **Branch Location** – Branch Locations are defined by the credit union. By default, there are no Branch Locations, but they can be added at the point the Complaint is being created or can be created at any time using the Manage Branch Locations navigation item. Once a Branch Location is defined, it will be available in the dropdown list going forward. For more information on creating a Branch Location, see the “Creating Branch Locations” video training.

- **Origin** – this is information on how the Complaint was received by the credit union

- **NCUA or Regulator Case Number** – If the credit union receives a Complaint directly from the NCUA or a regulatory agency, the credit union should enter the identifying case number in this field for tracking purposes.

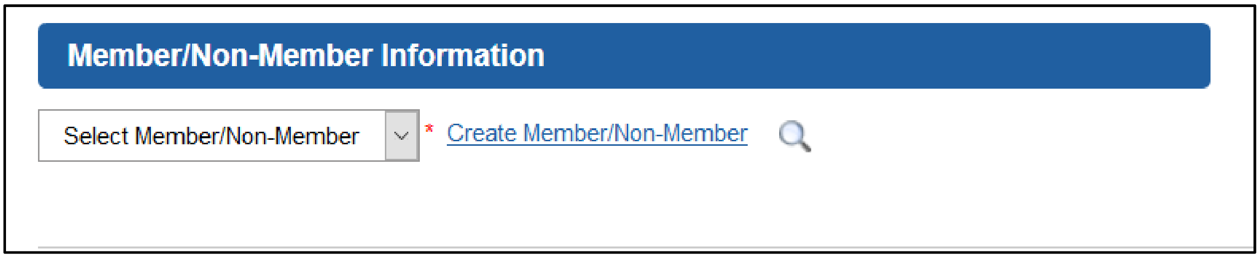
- **Due to Regulator Date** - If the credit union receives a Complaint directly from the NCUA or a regulatory agency, the credit union should enter the date the Complaint is due back to the regulator in this field.

Assigned To Fields



- **Assigned To** – choose one or more employees to be assigned to review and resolve the Complaint.
- **Response Due Date*** - the date by which the response to the Complaint is due.

Member/Non-Member Information



- **Member/Non-Member Information** – This is information on who lodged the Complaint. Member/Non-Members are defined by the credit union. By default, there are no Member/Non-Members, but they can be added at the point the Complaint is being created or can be created at any time using the Manage Member/Non-Members navigation item. A search is also available to help determine if the Member/Non-Member is in the system or not. For more information on creating a Member/Non-Member, see the "Member/Non-Member" video training.

Record of Response

- **Record of Response Comments** – This is information and comments related to the Complaint and any correspondence or information pertaining to the resolution of the Complaint. This field is available until the Complaint is closed.
- **Record of Response Documents** - This is documentation uploaded related to the Complaint and pertaining to the resolution of the Complaint. This field is available until the Complaint is closed.

Review Prior to Close

Notes: the Review Prior to Close area is not visible on a Complaint in “Draft” status. Complaints are not required to be set to Ready for Review to close them.

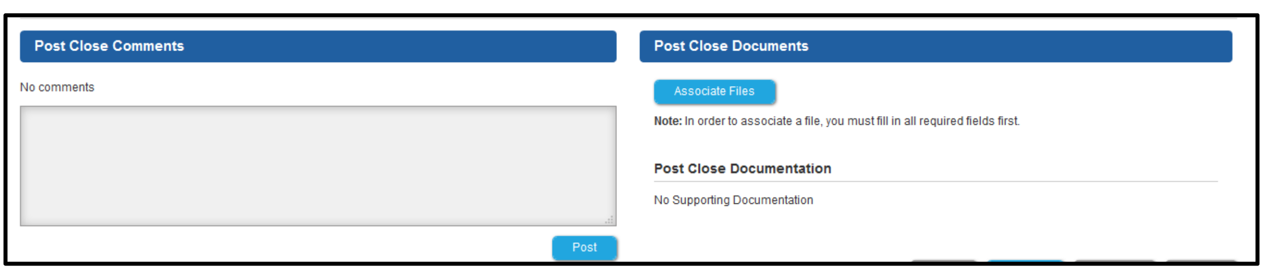
- **Ready for Review** – This indicates if the Complaint is ready to be reviewed by the employee who assigned the Complaint. Clicking on the “Mark as Ready” button will change the status of the Complaint to “Ready for Review” and will generate an email to the assignor. The button in this area will change to “Mark as Not Ready” which will allow the assignor to send the Complaint back to the assignee if additional work needs to be done. Once the Complaint is closed, the Ready for Review status will become “Review Complete” and cannot be changed.

Corrective Action

- **Corrective Action Comments** - This is information to document any related Corrective Actions the credit union may need to take in response to the Complaint. This field is available after the Complaint has been Saved/Previewed and Sent to the employee assigned and is available after the Complaint is closed.

- **Corrective Action Documents** - This is documentation uploaded related to any Corrective Actions the credit union may need to take in response to the Complaint. This field is available after the Complaint has been Saved/Previewed and Sent to the employee assigned and is available after the Complaint is closed.

Post Close



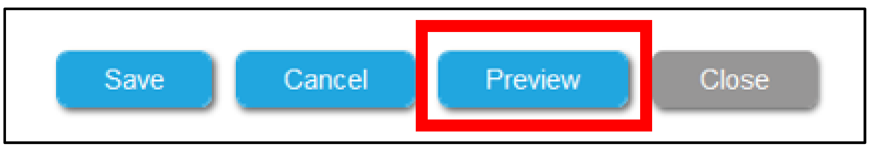
- **Post Close Comments** - This is information to document any information or comments related to the Complaint that may come in after the Complaint has been closed. This field is available after the Complaint has been closed.

- **Post Close Documents** - This is documentation uploaded related to the Complaint that may come in after the Complaint has been closed. This field is available after the Complaint has been closed.

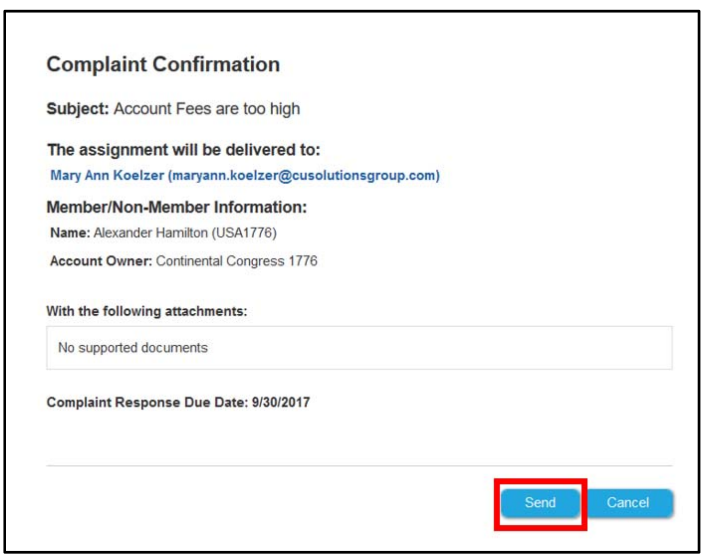
Completing the Complaint Assignment

Once the fields on the Complaint form are all filled in, you must **Save** the Complaint Form, which saves your information but keeps the Complaint in DRAFT status.

To deliver the assignment to the appropriate CMU and to move the status to In Progress, you must then PREVIEW the Complaint, which gives you another opportunity to do a quick review.



Review the information and if it is ready to be assigned, click SEND. The Complaint is now created and the employee(s) assigned are notified by email.



The Complaint will now show on the Dashboard of assignments and in the Complaint list.

Remember that a CMA will see all Complaints, but a CMU will only see those Complaints assigned to them.

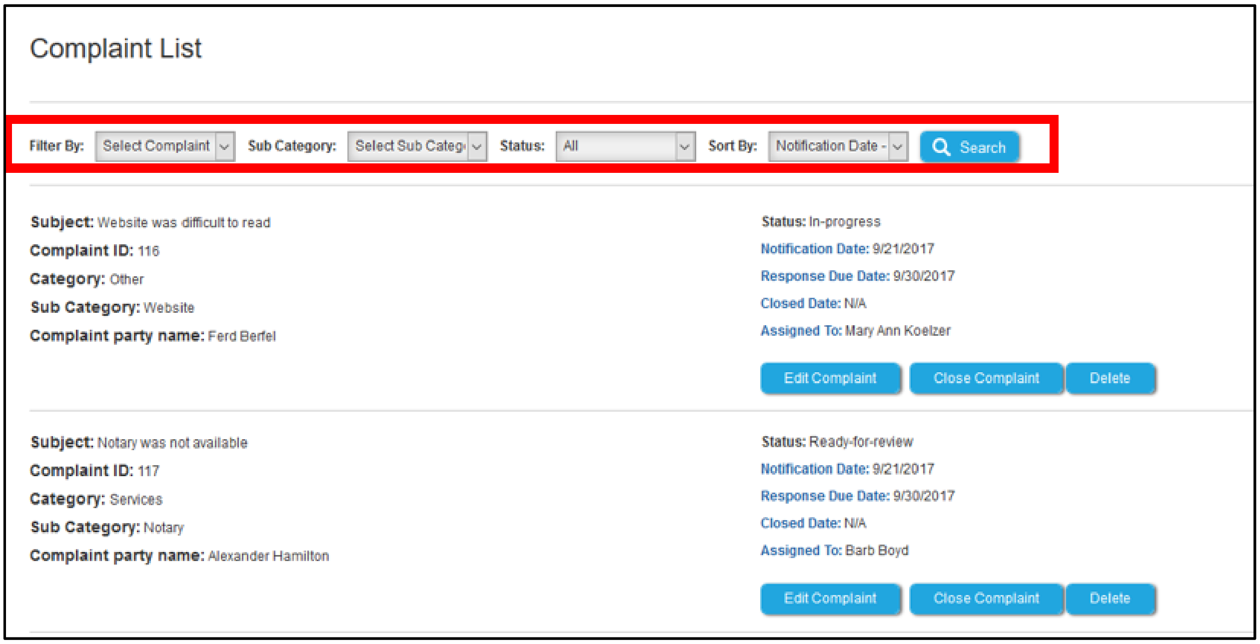
Managing Complaints

Click on the **Complaint List** item in the navigation to view and manage Complaints. Remember that a CMA will see all Complaints, but a CMU will only see those Complaints assigned to them.

As long as the Complaint is not closed, **all fields can be edited**. Comments and associated documents will be saved automatically, but all other changes must be Saved, which will put the status of the Complaint back to Draft, then Preview/Send in order to make the Complaint In Progress again.

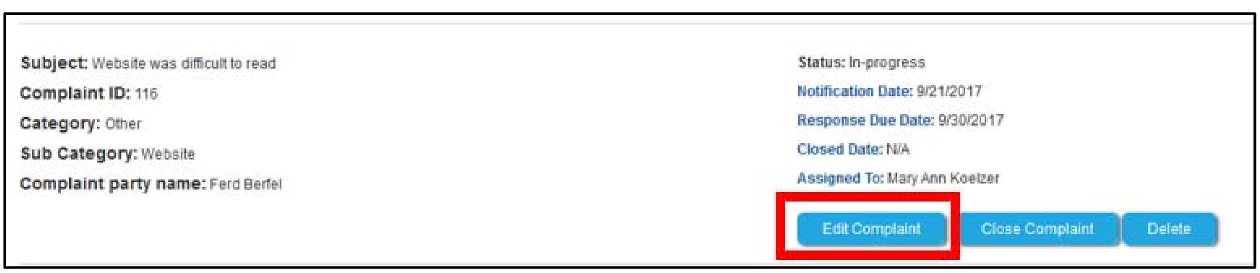
Finding a Specific Complaint

If the Complaint List is long, you can use the various **filters** to help find a particular Complaint or use the **Search** to find a particular Member/Non-Member.



Opening a Complaint in Edit Mode

Complaints can be **edited** by clicking the “Edit Complaint” button. A Complaint in any status, including Closed, can be edited, although closed Complaints are limited to editing the Corrective Action or Post Close information fields.



Marking a Complaint as Ready for Review

For those Complaints with a status of “In Progress” or “Overdue”, the system will allow the user to **Mark as Ready**, which will send a notification to the employee who assigned the Complaint so they can begin a review to see if the Complaint can be closed.

Once a Complaint is marked as ready, the button in this area will change to **Mark as Not Ready** which will allow the assignor to send the Complaint back to the assignee if additional work needs to be done.

Once the Complaint is closed, the Ready for Review status will become "Review Complete" and cannot be changed.

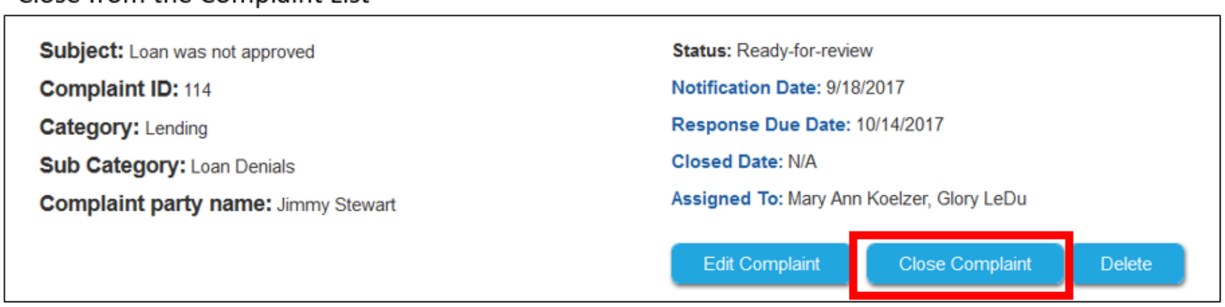
It's important to note that the Complaint can be closed by a CMA from the "In Progress" status and does not need to be "Marked as Ready" in order to close the Complaint. In some cases, the employee assigning the Complaint may also be the employee who is assigned to the Complaint, so this step may not be necessary.

Closing a Complaint

To **Close a Complaint**, click the Close Complaint button. This can be done from the Complaint List or within the Complaint itself. You will receive a prompt to confirm that you are closing the Complaint.

Once closed, a Complaint cannot be reopened, however, the Post Close Comments will be available to document any information that may come up after the Complaint is closed. Remember only a CMA can close a Complaint, and this option will not be available to a user with CMU access. Complaints in DRAFT form cannot be closed.

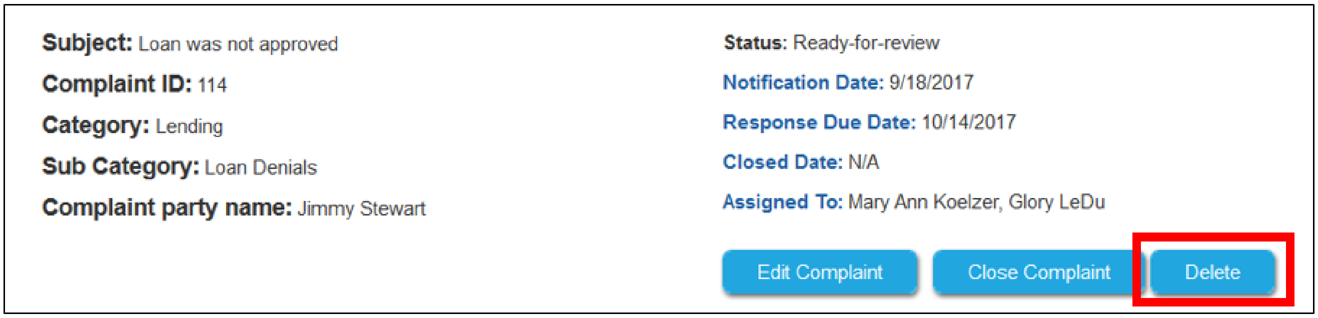
Close from the Complaint List



Or close from within the Complaint

Deleting a Complaint

To **Delete a Complaint**, click the Delete button. Once deleted, a Complaint cannot be recovered, so be absolutely sure before you delete. Remember only a CMA can delete a Complaint, and this option will not be available to a user with CMU access.

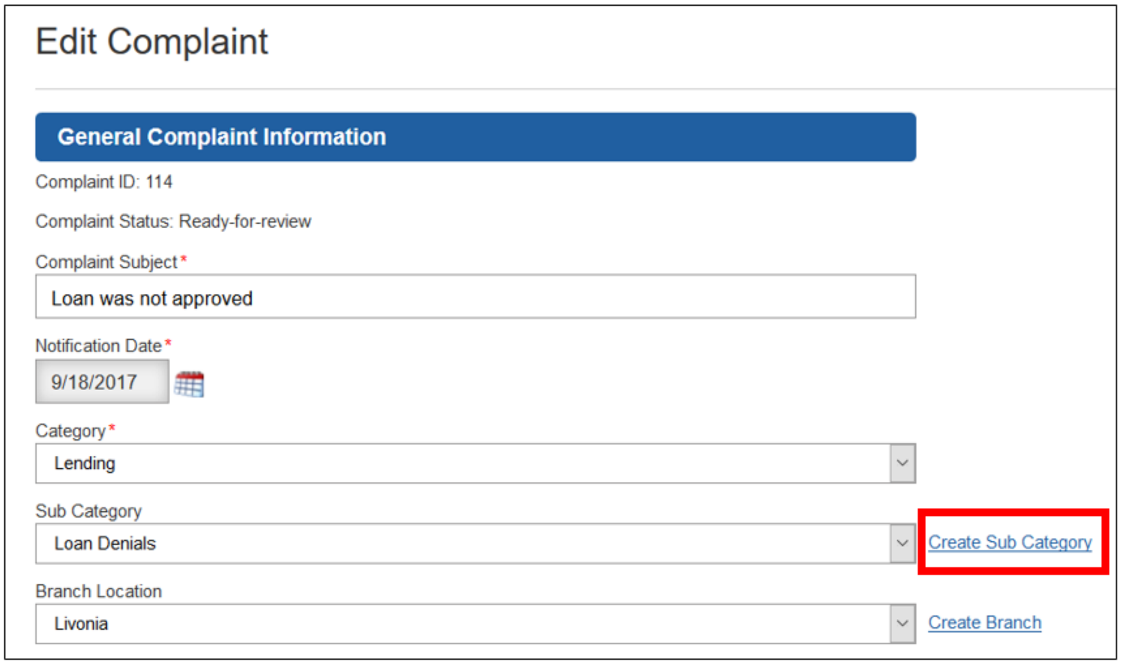


Manage Sub Categories

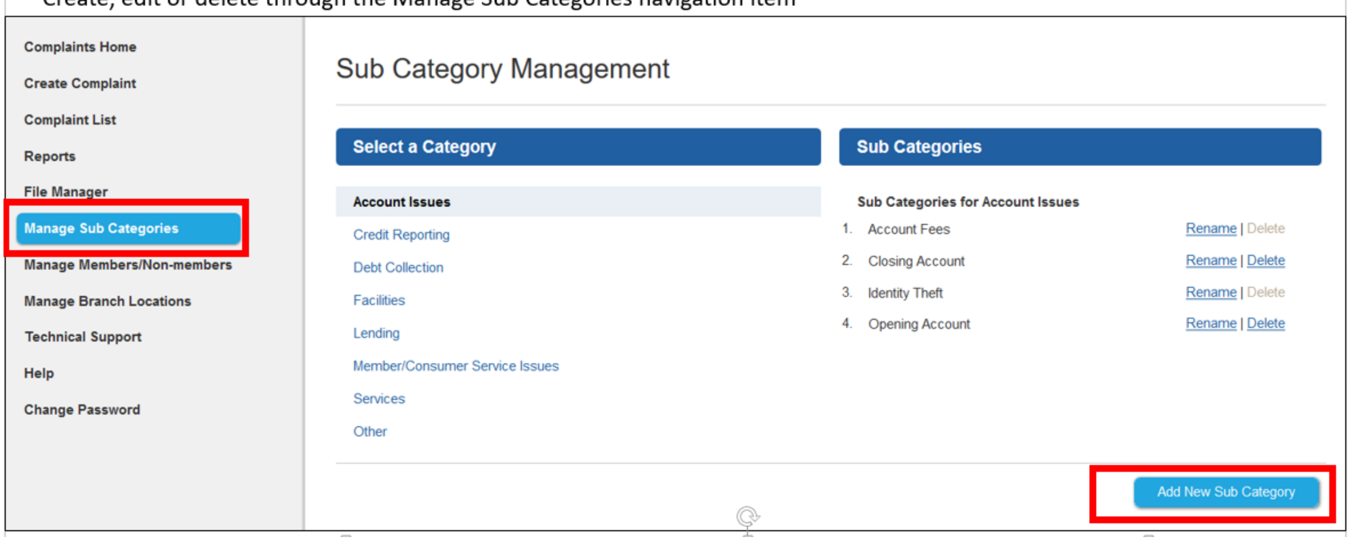
Creating a New Sub Category

New Sub Categories can be created within the Complaint form or through the Manage Sub Categories navigation item. From either location, first select the Category that you want to add the Sub Category to, then click the Create Sub Category link or the Add New Sub Category button. Remember that the Categories are set by the system and cannot be changed, but you have full control over the Sub Categories.

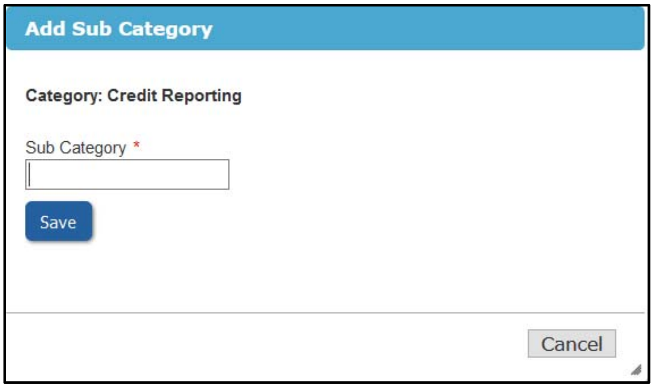
Create within the Complaint



Create, edit or delete through the Manage Sub Categories navigation item



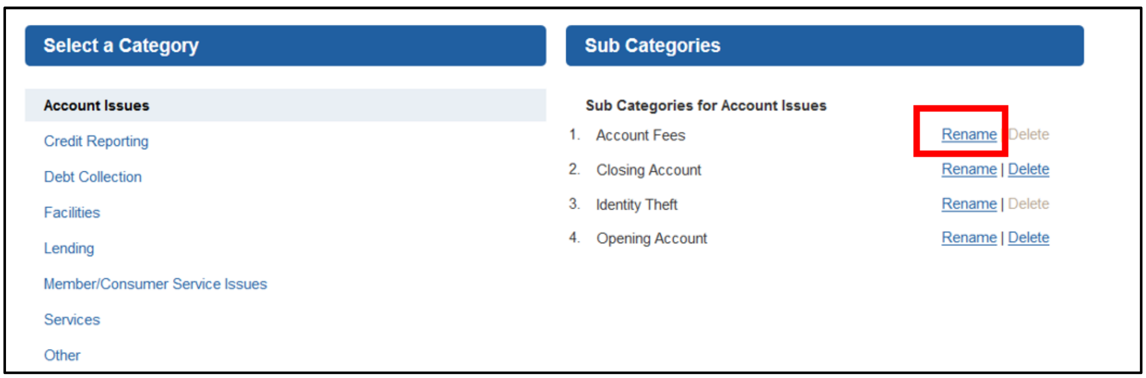
A pop up form will appear. Enter the name of the new Sub Category and click the SAVE button and your new Sub Category will be added.



Editing a Sub Category

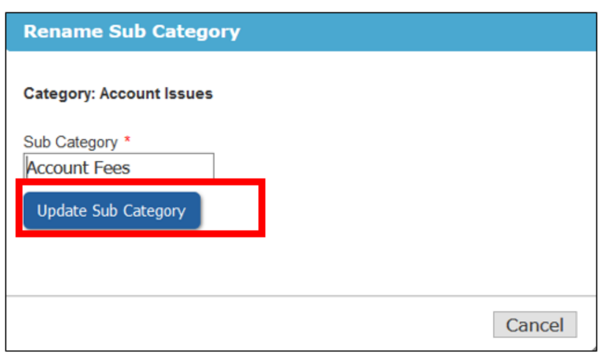
Sub Categories can only be edited within the Manage Sub Categories Navigation Item.

Click the **Rename** link next to the Sub Category you want to edit.



A pop up form will appear. Update the Sub Category name and click the **Update Sub Category** button.

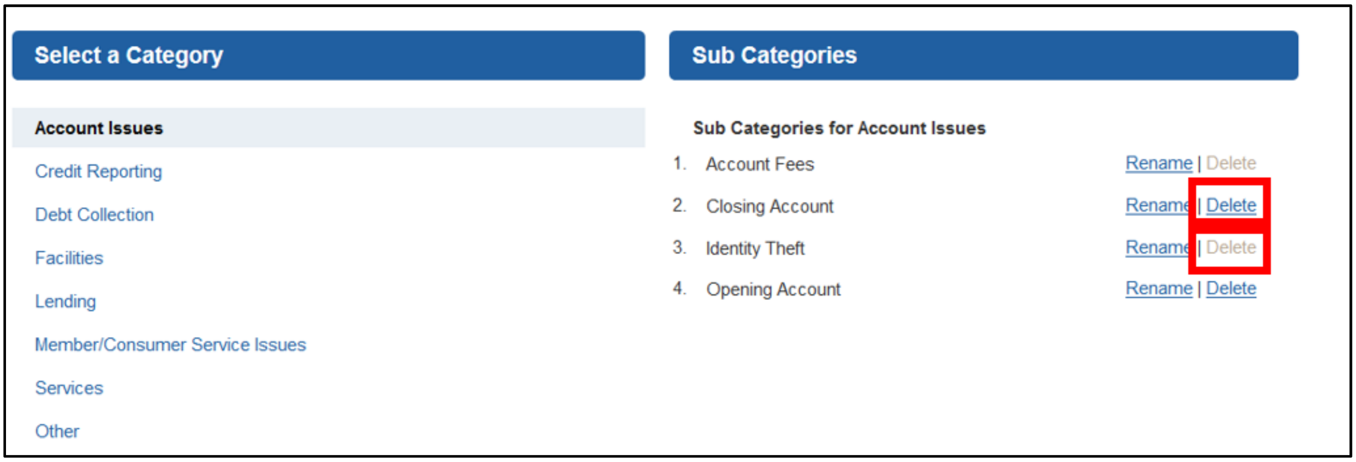
Note: Any changes to the name of the Sub Category will update on any Complaint where this Sub Category might already be in use.



Deleting a Sub Category

Sub Categories can only be deleted within the Manage Sub Categories Navigation Item.

Click the **Delete** link next to the Sub Category you want to delete. If the Delete link is greyed out, this means that the Sub Category is already in use on a Complaint and therefore cannot be deleted.



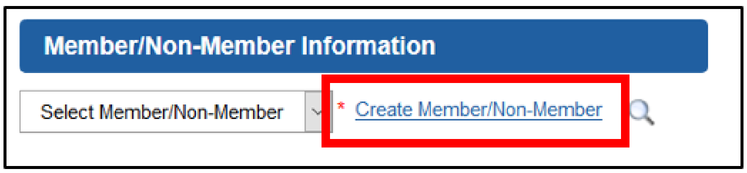
Manage Member/Non-Members

Note: The information collected in the Member/Non-Member listing is meant to serve to identify the Member/Non-Member lodging the Complaint, but is not a database with complete contact information. It is assumed that Member contact information would be stored elsewhere. For Non-Members contact information could be stored as part of the Complaint if necessary, but the Member/Non-Member listing is simply meant to provide identification.

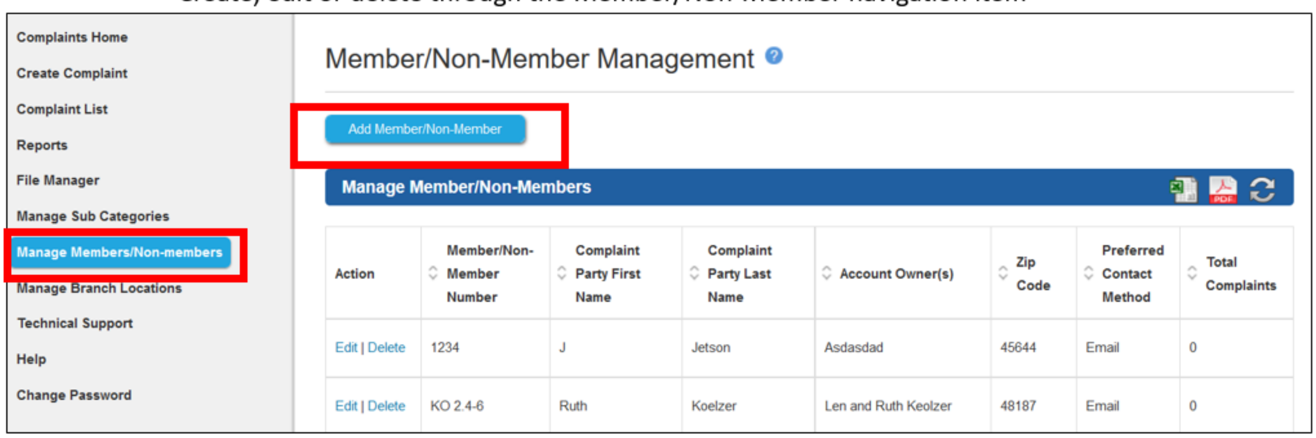
Creating a New Member/Non-Member

New Member/Non-Members can be created within the Complaint form or through the Manage Member/Non-Members navigation item. Click the Create Member/Non-Member link or the Add New Member/Non-Member button.

Create a new Member/Non-Member within the Complaint



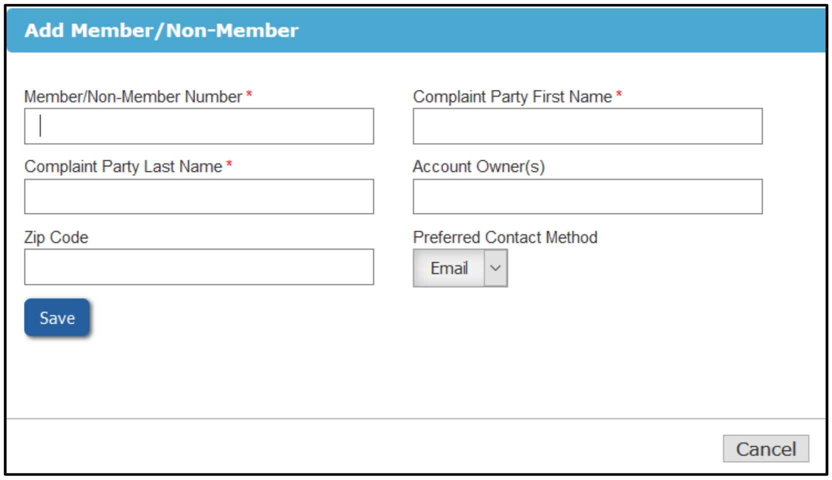
Create, edit or delete through the Member/Non-Member navigation item



A pop up form will appear. Enter the information related to the Member/Non-Members and click Save.

A few things to note:

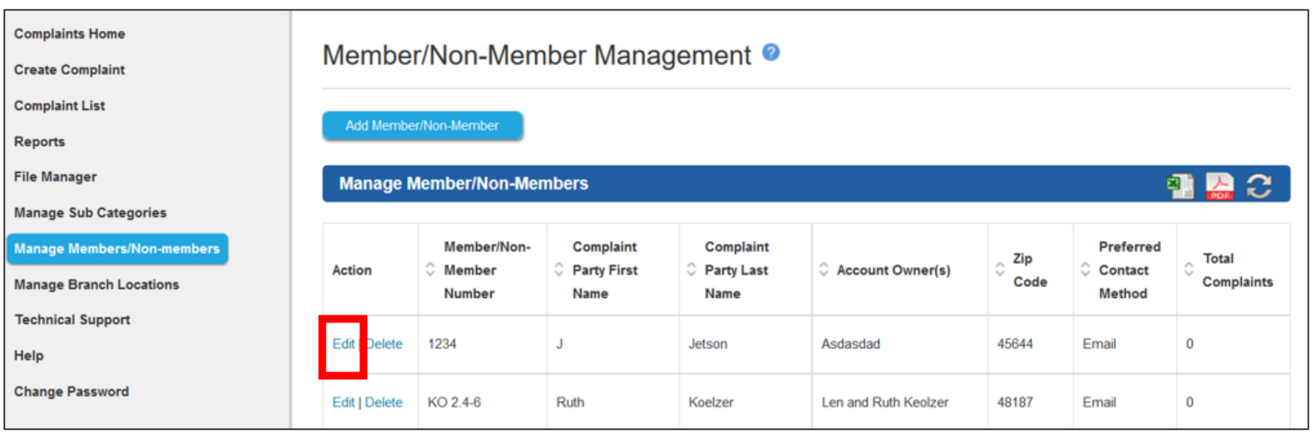
- The Member/Non-Member Number can be an account number or another number of your own choosing.
- The Member/Non-Members number can be used more than once. For instance, if there is a joint account #1234 where the person complaining is Member A on the account and later a Complaint is lodged by Member B, you could end up with two records for account #1234, one for each person with a Complaint. If you do enter an account number already in use, the system will give you a message alerting you to the duplication and show you all accounts using that number. You can then choose to proceed with creating the account or you can cancel the creation if you realize the Member/Non-Member is already in the system. The system will not allow you to create a Member/Non-Member record with the exact same account number and same first and last name that is already in use.



Editing a Member/Non-Member

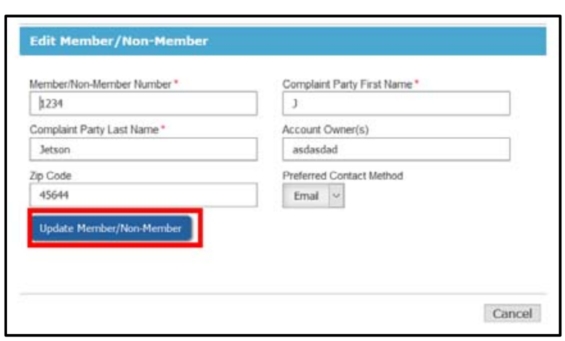
Member/Non-Members can only be edited within the Manage Member/Non-Members navigation Item.

Click the **Edit** link next to the Member/Non-Member you want to edit. If your Member/Non-Member list is very long, any of the column headings can be clicked to change the sort order of the column which may be helpful.



A pop up form will appear. Update the Member/Non-Member information and click the **Update Member/Non-Member** button.

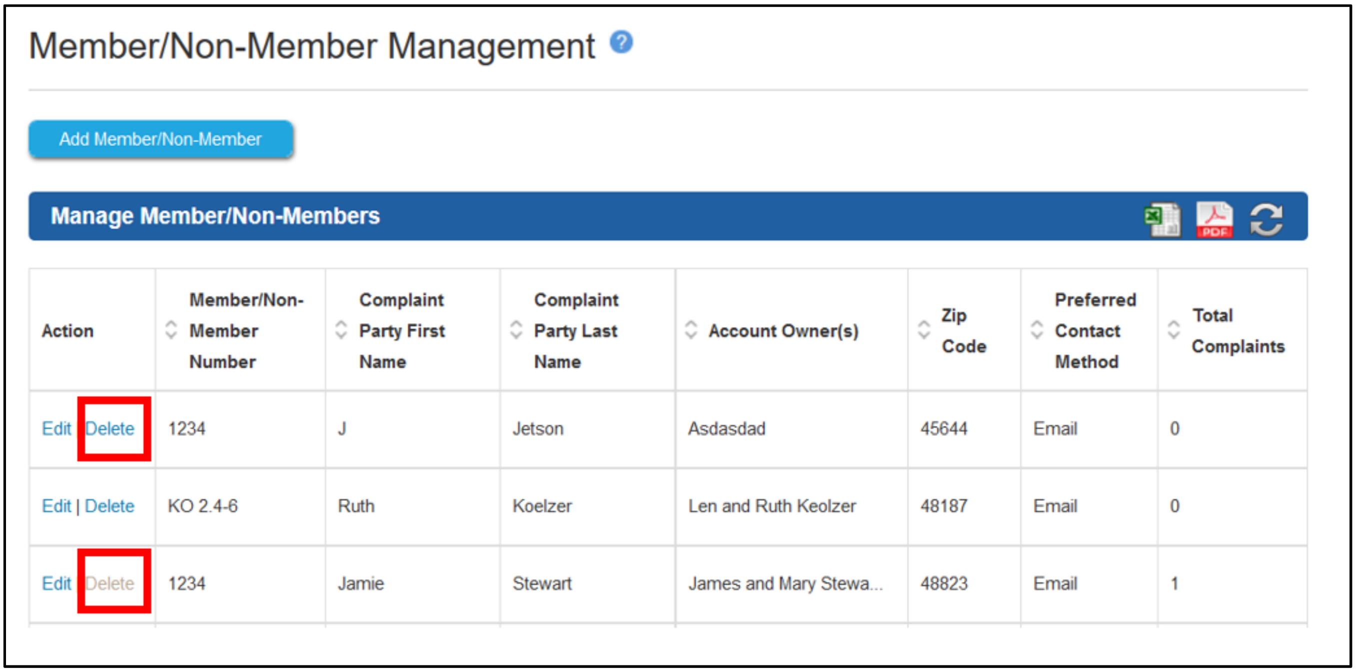
Note: Any changes to the information of the Member/Non-Member will update on any Complaint where this Member/Non-Member might already be in use.



Deleting a Member/Non-Member

Member/Non-Members can only be deleted within the Manage Member/Non-Members Navigation Item.

Click the **Delete** link next to the Member/Non-Member you want to delete. If the Delete link is greyed out, this means that the Member/Non-Member is already in use on a Complaint and therefore cannot be deleted.



Member/Non-Member Management

Add Member/Non-Member

Manage Member/Non-Members

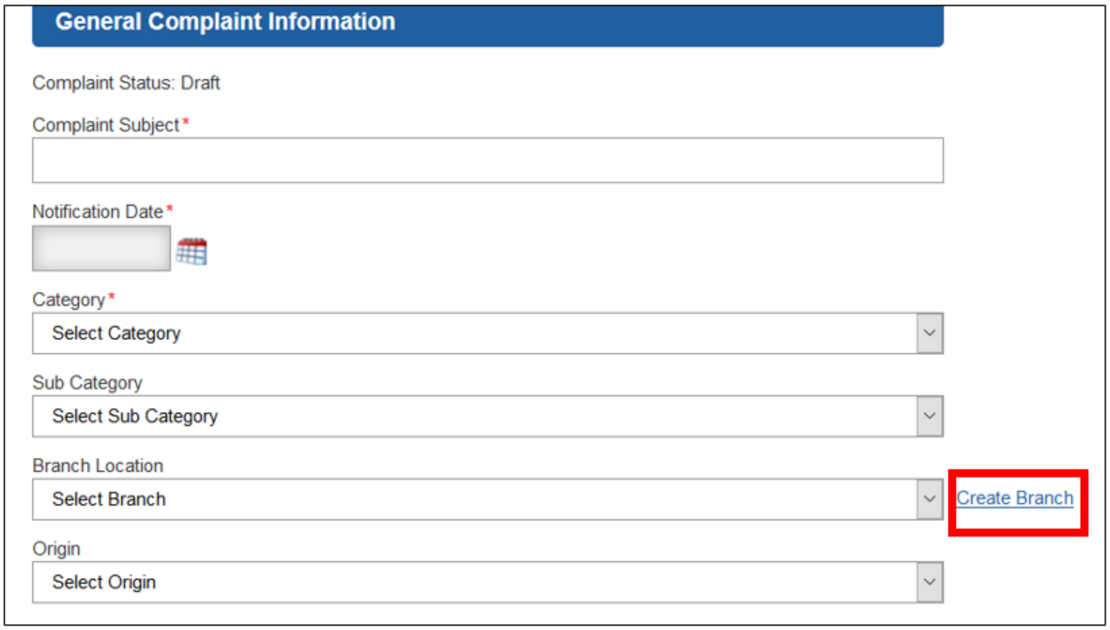
Action	Member/Non-Member Number	Complaint Party First Name	Complaint Party Last Name	Account Owner(s)	Zip Code	Preferred Contact Method	Total Complaints
Edit | Delete	1234	J	Jetson	Asdasdad	45644	Email	0
Edit | Delete	KO 2.4-6	Ruth	Koelzer	Len and Ruth Keolzer	48187	Email	0
Edit | Delete	1234	Jamie	Stewart	James and Mary Stewa...	48823	Email	1

Manage Branch Locations

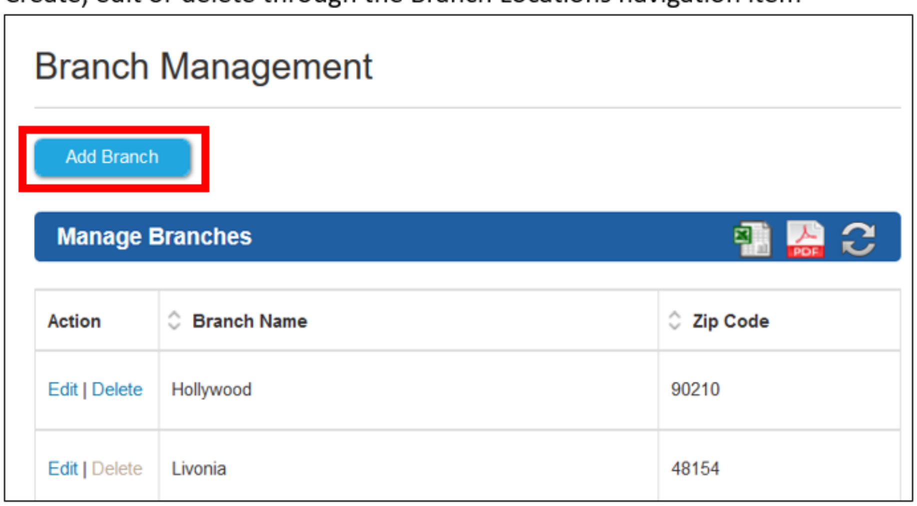
Creating a Branch Location

New Branch Locations can be created within the Complaint form or through the Branch Locations navigation item. Click the Create Branch Locations link or the Add New Branch Locations button.

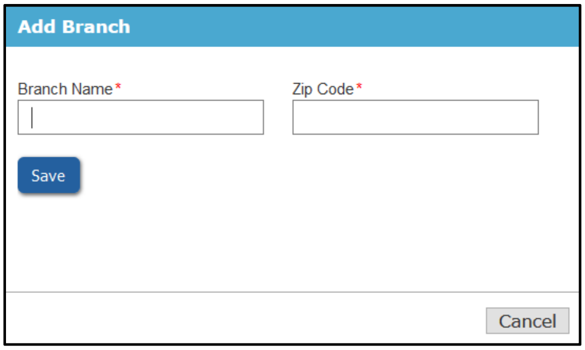
Create a new Branch Location within the Complaint



Create, edit or delete through the Branch Locations navigation item



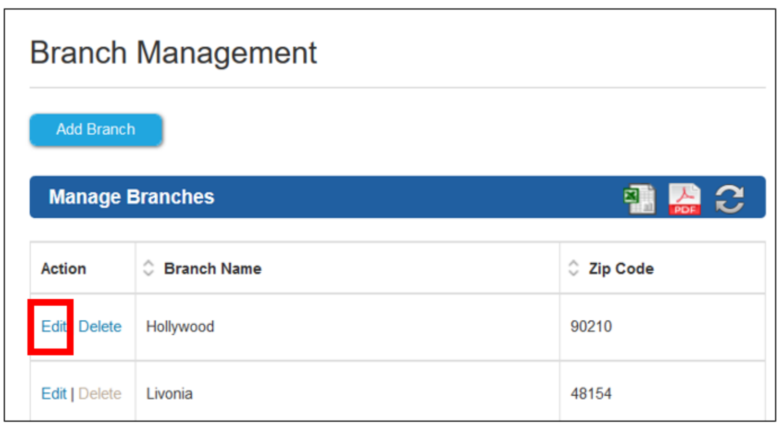
A pop up form will appear. Enter the name and zip code of the new Branch Location and click the SAVE button and your new Branch Location will be added.



Editing a Branch Location

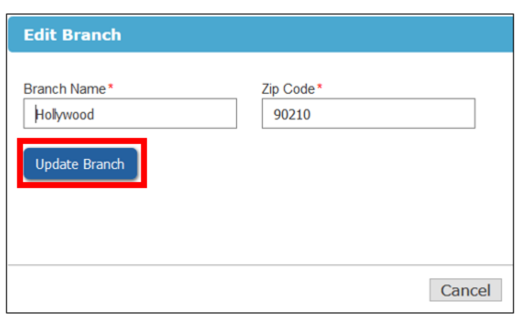
Branch Locations can only be edited within the Manage Branch Locations Navigation Item.

Click the **Edit** link next to the Branch Locations you want to edit.



A pop up form will appear. Update the information and click the **Update Branch** button.

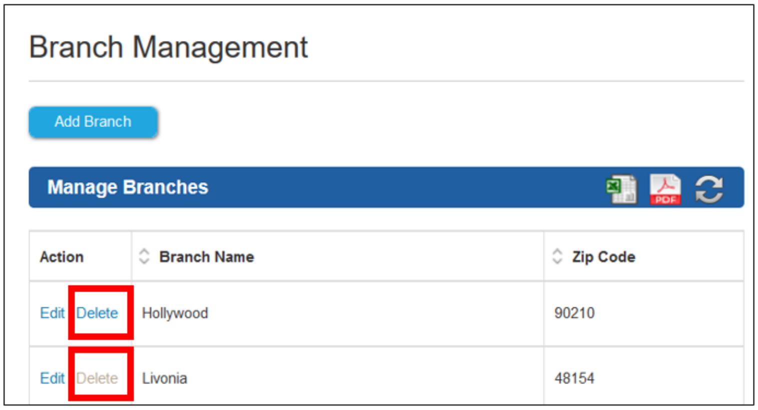
Note: Any changes to the name of the Branch Location will update on any Complaint where this Branch Location might already be in use.



Deleting a Branch Location

Branch Locations can only be deleted within the Manage Branch Locations Navigation Item.

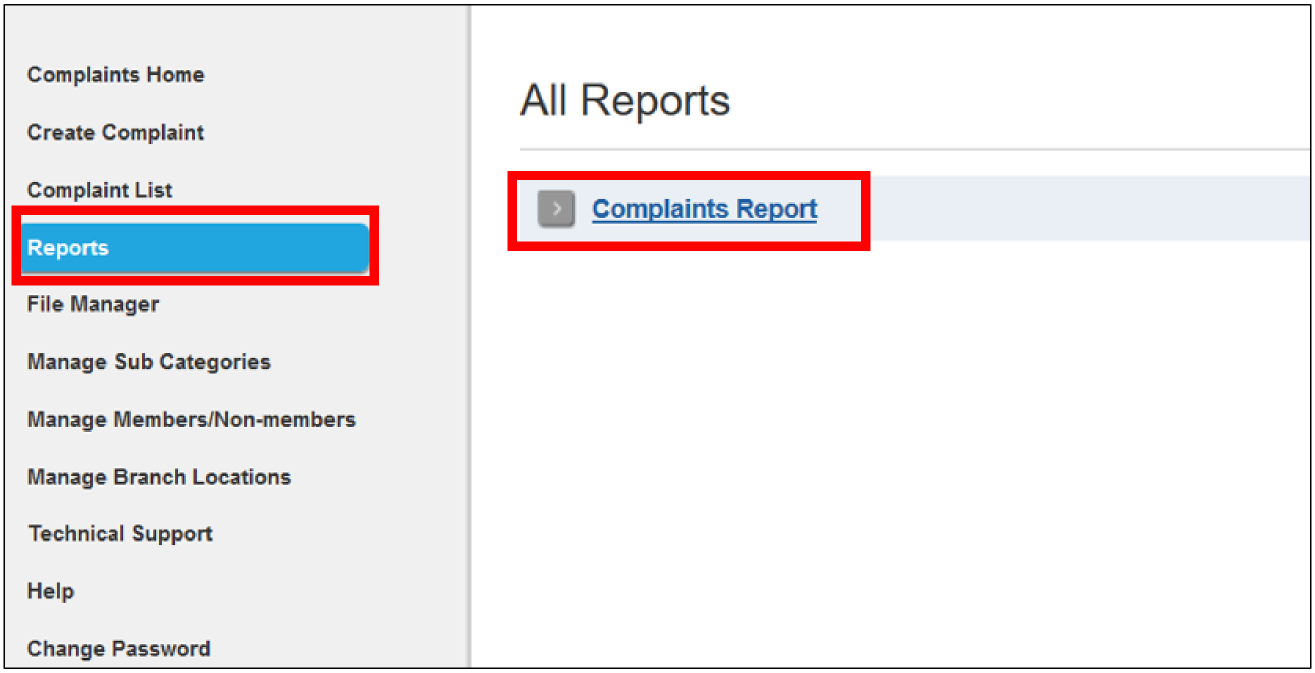
Click the **Delete** link next to the Branch Locations you want to delete. If the Delete link is greyed out, this means that the Branch Locations is already in use on a Complaint and therefore cannot be deleted.



Reports

Currently there is only one report in the Complaints System, the Complaints Report, which gives a snapshot overview of the Complaints in the system. Additional reports will be added in the coming months.

Click on the Reports link in the Navigation then on the Complaints Report link.



There is a hyperlink in the Subject that links directly to the Complaint if you want to see additional detail.

Filters allow you to drill down into the report and view Complaints by a specific Category, Sub Category, Status or employee assigned, and the filters can be used in combination with each other.

The results can be exported in Excel or PDF and if the results of the report are filtered, the export will show only those filtered results.