Questionnaire: HCD for FSPs

The purpose of this questionnaire is to inform the design and introduction of a chatbot and AI-augmented management system for the handling of consumer complaints. Given the limited time available for the go to market phase, significant preparation will be necessary in order to ensure best alignment with FSP needs. All responses and materials will be *treated as strictly confidential*.

NAME OF INSTITUTION:	
1. Complaints handling process	
1.1. Which departments/units participate in the complaints handling process? How many staff are assigned to complaints handling?	[e.g., off-site supervision, consumer protection]
1.2. What channels are available to submit complaints directly *to the financial service provider*?	[e.g., walk-in, email, call-in, web, etc.]
1.3. How are the complaints recorded and by whom?	[e.g., forms completed by complainants or staff]
1.4. What is the average time required by your agents to record and analyze complaints?	[please provide best estimate]
1.5. What KPI matters most when evaluating your organization's complaints handling performance?	[e.g., time spent by staff, time to resolution, net promoter score, etc]
2. HCD for Adoption of Artificial Intelligence	
2.1. Do you see customer support automation technology (AI, chatbots, etc) as critical for the operational efficiency of your organization in the next year as markets continue to recover from COVID-19?	[yes/no, and please feel free to elaborate]
2.2. Is your organization actively seeking new methods to reach more customers in their native languages?	[yes/no, and please feel free to elaborate]

2.3.	Is your organization actively seeking new methods to increase access to banking services via digital or online channels such as SMS and social media?	[yes/no, and please feel free to elaborate]
2.4.	In order to comply with the [Regulator]'s upcoming complaints automation system, does your organization prefer to use a basic email-only approach for replying to complaints -- or use a free version of the Regulator's software?	[yes/no, and please feel free to elaborate]
2.5.	If there were no setup cost, would your organization consider using the same software as [Regulator] to automate core banking services beyond complaints, such as transactions, claims, loan applications, etc?	[yes/no, and please feel free to elaborate]
3.	**Complaints compliance**	
3.1.	Are there pain points in compliance with regulations relating to your consumer complaints?	[please list pain points, provide your institution type, and reference to relevant regulation]
3.2.	How do you report complaints to the regulator?	[mode of data sharing (e.g., prudential returns) and format (e.g., email or web-upload)]
3.3.	How frequently do you report complaints data to the regulator, and in what cases?	[e.g., ad hoc, monthly, quarterly, annually; please provide a template report if possible]
4.	**Complaints management system(s) (CMS)**	
4.1.	How are complaints recorded and where are they stored?	Please specify software systems
4.2.	Which department/unit is responsible for updating and maintaining the database?	[please list]
4.3.	What attributes are captured by this database?	[please specify fields]
4.4.	How is complaints *resolution* tracked?	[please specify]
4.5.	What are the procedures for	[please specify]

	escalating unresolved complaints?	
5.	**Complaints analysis**	
5.1.	Who are the primary internal users of complaints statistics?	
5.2.	How and how frequently are complaints statistics reported internally?	[please share examples]
5.3.	How are complaints used by other departments?	[e.g., marketing]

Request for information:
- Extract from complaints management database specifying fields
- CMS architecture and workflows documentation
- Sample of management and external reports of complaints statistics