	<b>RSJ Inspection<sup>TM</sup></b> - complete conformity solutions	<b>Procedural Manual</b>
<b>IAAC &amp; STARS Division</b>	<b>Complaints and Appeals</b>	<b>Procedure No.PM-04</b>
<b>Revision No.09</b>		<b>w. e. f. 14-05-2019</b>

### 1.0. Purpose

The purpose of this procedure is:

- To enhance the ability to resolve complaints/appeals in a consistent, systematic, and responsive manner, to the satisfaction of the complainant/appellant.
- To provide a basis for continual review and analysis of the complaints/appeals-handling process, the resolution of complaints/appeals, and process improvements made.
- To enhance the client satisfaction
- To enhance the ability to identify trends and eliminate causes of complaints/appeals and improve the operations

### 2.0. Scope


This procedure is applicable to all the complaint and appeals related to IAAC activities.

### 3.0 Abbreviation and Definition

3.1. Refer Quality Manual, Section- Abbreviation and Definition

3.2. The following are the classifications of complaint & appeal,

- Critical – Complaint is likely to have issues related to integrity major economic or legal impact, blacklist threat, against company policy, statutory and or regulatory requirements.
- Major – Complaints which lead to loss of potential client, financial loss, CAPA required and change in procedure or system.
- Minor – The complaint not classified as Major or Critical

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#### 4.0. Responsibility

Designation	Responsibility
Executive client service	1.To acknowledge complainant or appellant for receipt of complaints / appeals. 2. To register and ensure timely redress of complaints received from customer and taking necessary corrective action. 3. To communicate received complaints / appeals to respective associate & manager, Quality Manager /Integrity manager and <a href="#">Director-operation</a> . 4.To support the investigation team in collecting the required data from complainant or appellant. 5.To communicate progress report & outcome, date for closure, time and formal closure to complainant or appellant. 6.To follow with QM for complaint or appeal progress.
Respective manager (IAAC division)	1.Conducting unbiased investigation of received complaint or appeal within team. 2.Forwarding investigation report to integrity manager and quality manager for further investigation with supportive evidence.
Integrity Manager	1.Detailed unbiased investigation of received complaint or appeal. 2.Forwarding investigation report to quality manager with supportive evidence.
Quality Manager	1. Classification of complaint and appeal 1.Impartial analysis of investigation report submitted by integrity manager and respective manager. 2. Assist other functionaries in complaints and appeals investigation, taking corrective and preventive actions. 3. Authorized for approval / review of the complaints/ appeals decision to be communicated to the complainant or appellant. 4. To ensure the effectiveness of the corrective actions taken in respect of complaints received from clients. 5.Authorized for approval of systems procedures and guidelines and the forms associated. These include procedures for Document Control, Control of records, Internal audits, Management review, Complaints and Appeals, Non-conformities, Corrective and Preventive actions. 6. Member of complaint or appeal committee.
Manager Client service	1.Member of complaint or appeal committee. 2.To support in final decision on investigation report as a committee member.
Technical Manager	1.Assisting in appeal and complaint committee. 2.Member of complaint or appeal committee.
Director-Operation	1.Redress customer complaints 2.Member of complaint or appeal committee.
Executive Director	Reviewing customer feedback, complaints and ensuring settlement of complaints and appeals.



## **5.0. Procedure**

### **5.1. Complaints**

5.1.1. Complaint can be made by any interested party against the following

- RSJ, its services
- Associates of RSJ
- Process followed by the associates of RSJ
- Misuse the scope of service
- Quality of any service
- Breach of RSJ Ethics & Code of Conduct (RSJ\_HR\_FT\_04A) & / or Associate Code of Conduct (RSJ\_HR\_FT\_ 04).

5.1.2. QM should ensure that information about complaints and appeals procedure is uploaded on webQBMS portal.

5.1.3. The complaint committee comprises of Director operation, Manager Client service, QM, TM who are independent from handling the inspection, audit, assessment & product certification case previously.

### **5.2. Receipt:**

5.2.1.A complaint handling process can be accessed by complainants in our website. Any interested party can send the complaints to respective Executive-client service. It will be forwarded to all responsible person in complaints handling team including the respective Manager.

5.2.2. On receipt of the complaint, Quality manager will classify the received complaint as Critical or Major or Minor.

### **5.3. Acknowledgement:**

5.3.1. Executive - client service will acknowledge the complaint with the date for closure. Further, if any information required related to the complaint will be clarified with the complainant (based on RSJ\_INSP\_FT\_13, Part A1).

5.3.2. Executive - client service will register the complaint under tab 'Feedback' in webQBMS portal.

### **5.4. Investigation:**

If any delay is anticipated in following investigation phases (I, II, III) at any time respective manager will communicate to Executive-Client service and interim reply will send to complainant.



#### **5.4.1 Phase-I**

5.4.1.1. Respective Manager shall collect the required information from various sources, such as complainant (based on RSJ\_INSP\_FT\_13\_complaint handling form, Part A1), associate, either in e-mail or oral. Further information will be collected from rendered service (inspection/audit/assessment/ product certification) report & related documents & records, e-mail communication before commencing service, service agreement, issued certificate etc.

5.4.1.2. Respective manager will carry out first investigation, within team member & shall submit the report to integrity manager and QM with suggested corrective / preventive action.

#### **5.4.2-Phase-II**

5.4.2.2. Integrity Manager shall collect the required information from various sources, such as complainant (based on *RSJ\_INSP\_FT\_13\_complaint handling form, Part A1*), factory personnel, associate, either in e-mail or oral. Further information will be collected from rendered I/A/A/C service report & related documents & records, E-mail communication before commencing service, service agreement, issued certificate etc.

5.4.2.1. Integrity Manager shall verify, if there any breach in COC with respect to integrity, impartiality, independence and COI, analyse the cause and forward the investigation report with relevant details along with his observation, suggested corrective / preventive action to QM.


#### **5.4.3. Phase-III**

5.4.3.1. Quality Manager will analyse the received investigation report from respective manager and integrity manager & shall verify the authenticity of the complaint & make comprehensive report.

5.4.3.2 QM shall collect additional information from relevant source in case required.

5.4.3.3. The comprehensive investigation report will forward to complaint handling team compromise of (Technical manager, Client Service Manager, Director-Operation) for their review.

5.4.3.4. QM will implement the suggestion in comprehensive investigation report from complaint handling team & handover the final investigation report to Executive client service.

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5.4.3.5 QM will monitor the subsequent service (inspections / audits / assessment/ product certification) for the complaint to ensure that the complaint does not result in any discriminatory action.

**5.5 Closure:**

5.5.1. Executive-client service will forward the final investigation report summary with proposed corrective and preventive action to client. This will be considered as formal closure of complaint.

5.5.2. In case client come back with any comments or clarification, on receipt of the final investigation report then this case will be put in complaint handling team again for more comments.

5.5.3. QM will investigate the case again till client satisfied or till come to conclusion.

5.5.4. In case compliant has incomplete and could not provide adequate information, or not authentic then quality manager (in consultation with Director -Operation and Manager - client service), will send reply through Executive- client service to the complainant that the complaint is not authentic'. RSJ reserve the right of dealing with the complaint as deemed unfit. The reply shall be treated as the formal closure of complaint.

**5.6 Follow up:**

5.6.1 QM shall maintain the record for complaint received, actions taken, and replies sent, to know the status of current complaint

5.6.2 [The tracking of current position of complaint is visible to Director Operation, QM, Client Executive and manager, inspection manager under tab 'Feedback' in webQBMS portal.](#)

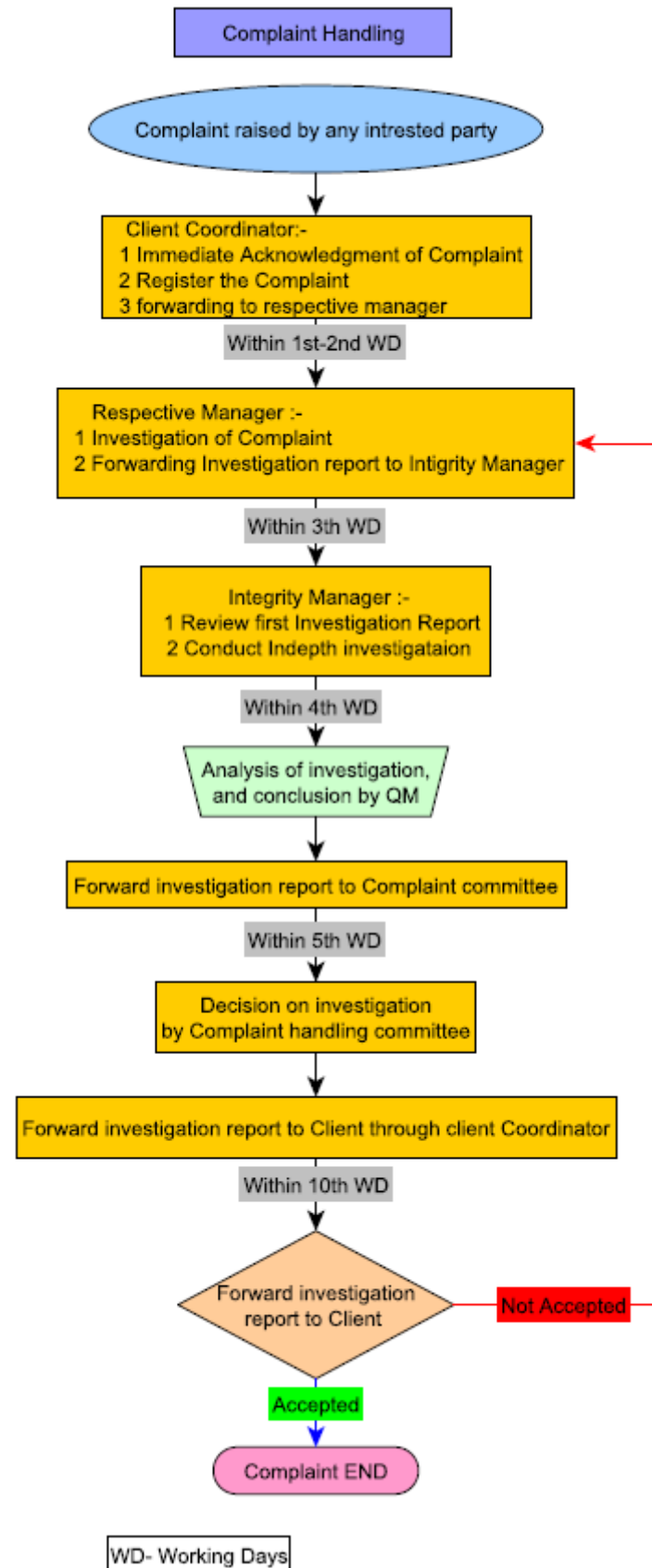
5.6.3. The summary of complaint and actions taken on them shall form as agenda point of the MRM by QM.

**Complaints TAT:**

Stage	Duration	Ownership
1.Acknowledge of complaint & Registration of complaint in <a href="#">under tab 'Feedback' in webQBMS portal.</a>	Immediate	Executive Client service
2.Forwarding complaint to respective manager	Immediate	Executive Client service
3. First investigation	1 <sup>st</sup> to 2 <sup>nd</sup> working day	Respective manager
4. Detail investigation	3 <sup>rd</sup> working day	Integrity manager
5. Analysis of investigation, and conclusion	4 <sup>th</sup> working day	Quality manager
6. Decision on investigation & reply to client	5 <sup>th</sup> working day	Complaint handling committee



7. Formal closure	10 <sup>th</sup> working day	Executive Client service
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## **6.0. Appeals**

### **6.1. Receipt**

6.1.1. An appeal handling process can be accessed by appellant in our website([www.rsjqa.com](http://www.rsjqa.com)). Any manufacturer or auditee can send the appeal to respective Executive-client service /RSJ. It will be forwarded to all responsible person in appeal handling team including the respective manager.

6.1.2. Appeal is any request by the provider, for reconsideration of a decision has been made related to rendered service. E.g. For inspection provider is anyone who is offered the item of inspection. For audit its auditee and for assessment it is assessee.

6.1.3. Appeal shall be sent in writing to respective Executive client service /RSJ person on the issue supported by the documentary evidence.

6.1.4. The appeal must be filled by appellant in writing within 15 days from the report issue date.

### **6.2. Acknowledgement**

6.2.1. Executive- client service will acknowledge the appeal with date of closure. Further any more information required will be clarified with appellant.

6.2.2. Executive- client service will register the appeal [under tab 'Feedback' in webQBMS portal.](#)

## **6.3. Investigation**

### **6.3.1. Phase-I**

6.3.1.1. Respective manager will carry out first investigation, within team member & shall submit the report to integrity manager and QM with suggested corrective / preventive action.

6.3.1.2. Respective Manager shall collect the required information from various sources, such as appellant, associate, either in e-mail or oral. Further information will be collected from rendered service, Inspection/Audit/Assessment/product certification report & related documents & records, e-mail communication before commencing service, service agreement, issued certificate etc.

### **6.3.2 Phase -II**

6.3.2.1. Integrity Manager shall verify the authenticity of the appeal, analyse the cause and forward the appeal with relevant details along with his observation, suggested corrective / preventive action to QM.

6.3.2.2. Integrity Manager shall collect the required information from various sources, such as appellant, associate, either in e-mail or oral. Further information will be collected from rendered service IAAC report & related documents & records, e-mail communication before commencing service, service agreement, issued certificate etc





6.3.2.3. If any delay is anticipated in analysing and taking actions, integrity manager will communicate an interim reply to the appellant through client co-ordinator that 'the complaint is being processed and reply would be sent in due course.'

### **6.3.3. Phase-III**

6.3.3.1. QM will analyse the received investigation report from respective manager and integrity manager & make compressive report.

6.3.3.2 QM shall collect additional information from relevant source in case required.

6.3.3.3. The compressive investigation report will forward to complaint handling team compromise of (Technical manager, Manager -Client service, Director-Operation) for their review.

6.3.3.4. QM will implement the suggestion in compressive investigation report from appellant handling team & handover the final investigation report to Executive client service.

6.3.3.5 QM will monitor the subsequent service IAAC for the appeal, to ensure that the appeal does not result in any discriminatory action.

### **6.4 Closure:**

6.4.1. Executive- client service will forward the final investigation report with proposed corrective and preventive action to client. This will be considered as format closure of appeal.


6.4.2. In case client come back with any comments or clarification, on receipt of the final investigation report then this case will be put in appeal handling team again for their comments.

6.4.3. QM will investigate the case again till client satisfied.

6.4.4. In case appeal has incomplete and could not provide adequate information, or not authentic then QM (in consultation with Director -Operation and Manager-client service), will send reply through Executive-Client service to the complainant that 'the appeal is not authentic'. RSJ reserve the right of dealing with the appeal as deemed unfit. The reply shall be treated as the formal closure of appeal.

### **6.5 Follow up:**

6.5.1. QM shall maintain the record for appeal received, actions taken, and replies sent, to know the status of current appeal

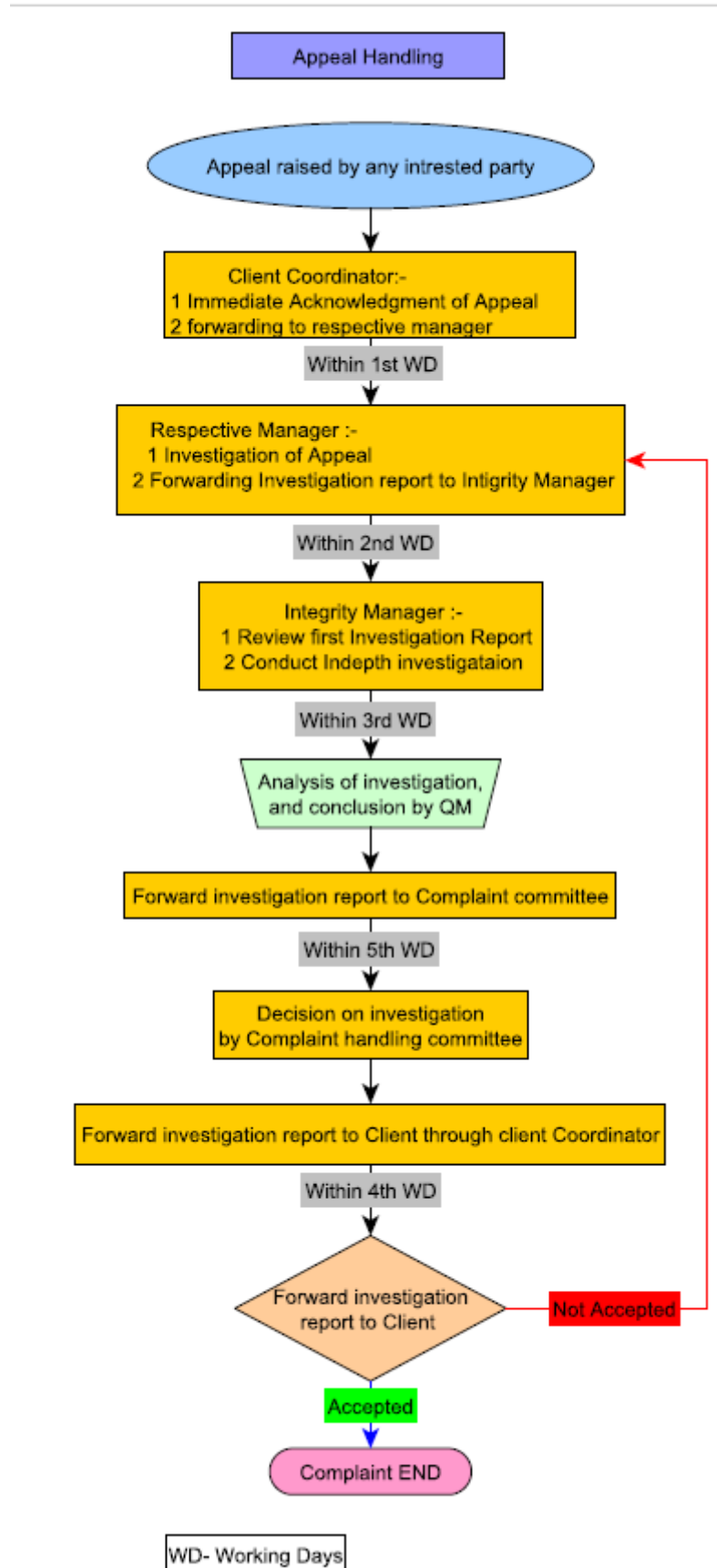
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6.5.2. The tracking of current position of appeal is visible to Director Operation, QM, Client Executive and manager, inspection manager under tab 'Feedback' in webQBMS portal.

6.5.3. The summary of appeals and actions taken on them shall form as agenda point of the MRM by QM.

**Appeals TAT:**

Stage	Duration	Ownership
1.Acknowledge of appeal & registration of appeal	Immediate	Executive-client service
2.Forwarding appeal to respective manager with CC to another manager	Immediate	Executive-client service
3. First investigation	1 <sup>st</sup> working day	Respective manager
4. Detail investigation	2 <sup>nd</sup> working day	Integrity manager
5. Analysis of investigation, and conclusion	3 <sup>rd</sup> working day	Quality manager
6. Decision on investigation	4 <sup>th</sup> working day	Appeal handling committee
7. Formal closure	4 <sup>th</sup> working day	Executive-client service



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**7.0 Records:**

QM / integrity Manager would maintain a record of all complaints and appeals received, actions taken, corrective actions, if any, and their effectiveness. These records would be maintained for a period of 2 years.

Sr. No.	Title	Index
1	Complaint / Appeals Handling Form	RSJ_INSP_FT_13

**Annexure-I**



**RSJ Inspection™**  
 -Complete Conformity Solution  
**COMPLAINT HANDLING FORM**

A. GENERAL INFORMATION			
<b>Complaint Name:</b>		<b>Complaint Number</b>	
<b>Client</b>		<b>Date of complaint</b>	
<b>Buyer</b>		<b>Service Performed</b>	
<b>Vendor/Supplier</b>		<b>Inspection Location</b>	
<b>Manufacturer</b>		<b>Inspection Report number</b>	
<b>Purchase order number</b>		<b>Inspection Date</b>	
<b>Style / Item Number</b>		<b>Inspection standard used</b>	
<b>Product Description</b>		<b>Inspected Sample Size</b>	
<b>L/C number</b>		<b>Actual Inspection Quantity</b>	
<b>Order Quantity</b>		<b>Total cartons offered</b>	
<b>Cartons opened for inspection</b>		<b>Country of Destination</b>	
<b>Country of Origin</b>			
Information provided by the client before inspection			
<b>Approved sample</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<b>Digital Images</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Product Specification</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<b>Swatch Card</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Client check list</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<b>Purchase order</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Client work instruction</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<b>Other</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No



**PART A-1 Questionnaire for Customer Feedback (Complete by Initiator)**

In order to facilitate investigation of the customer feedback, the following information is helpful. We understand that client's representative may be unable to provide all information. Hence, the information should be supplied as far as they can.

**General Information:**

1. Did the issue relate to product Quality?

Yes- Complete your answer for question (3) -(9) only.

No- Go to question # 2.

2. Did the issue relate to people performance (exclude integrity related)?

Yes- Complete your answer for question (10) -(12) only.

No- Contact your immediate superior.

Feedback about quality of goods received (only to fill in if the initial client feedback does not provide the answer, N/A question/s can be deleted.

3. Could you provide details about the type and number of all defects found?  
(PS: this question is to assess the degree of significance).

→

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4. How many pieces have you checked? Please provide the percentage of each defect.  
(Note: This question is to correlate the sampling method)

→

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5. When did you discover the problem/issue?

→

---

6. Where and who and how did you discover the problem /issue?

→

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7. Where are the goods now? (e.g. Depot /distributor's ware house /retails shops etc.)

→

---

8. Could you send the digital photo(s) regarding the defect for quick reference?

→

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9. Could you send us the defective sample(s) for reference?  
(PS: With respect to color problem, defective sample must be provided because photo may bias color contrast. In general cases, defective samples are highly preferred as long as the client can provide.)  
→

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**Feedback about personal performance:**

10. Could you tell me who involve in the case?  
(PS:(1) Basically, the case may involve to a group of people. This question tries to identify who is able to contribute his/her views about the case from the client's perspective. (2) The coordinator shall pass the case to his/her supervisors, if the complaint is against them directly).  
→

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**COMPLAINT MEMBERS FORM**

11. Where did the case take place?  
→

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12. When did the case happen?  
→

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<b>B. FIRST INVESTIGAGTION REPORT</b>	
Client Inspection Manager /Team Leader	
Quality Engineer / Team Member	
Problem Description	
Problem Analysis (As per Quality Engineer / Team Member)	
Problem Analysis (As per Client Inspection Manager /Team Leader)	
<b>Conclusion - Is Problem confirmed</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No



<b>C. CORRECTIVE ACTIONS</b>	
<b>C1. Immediate corrective action</b>	
Responsibility	
Date of implemented	
Evidence of action	
<b>C2. Root cause analysis</b>	
Responsibility	
Date of implemented	
Evidence of action	
<b>C3. Possible permanent corrective action</b>	
Responsibility	
Date of implemented	
Evidence of action	
<b>C4. Implemented Permanent corrective action</b>	
Responsibility	
Date of implemented	
Evidence of action	
<b>C5. Preventative action to avoid re-occurrence</b>	
Responsibility	
Date of implemented	
Evidence of action	



**D. Investigation report closure**

<p>The complaint was closed on _____ (DD/MM/YY) due to</p> <p><input type="checkbox"/> The client had no objection to the investigation report after 10 working days.</p> <p><input type="checkbox"/> The client explicitly accepted the conclusion and proposal.</p> <p><u>Client's Feedback:</u></p> <p><input type="checkbox"/> the case incurred compensation or waive invoice, for an amount of _____</p>
<p><b>Conclusion Category (Internal use only)</b></p> <p><input type="checkbox"/> Did not understand client's requirement clearly- CRMO/OO</p> <p><input type="checkbox"/> Not state the potential risk especially for small sampling plan, or combined inspections</p> <p><input type="checkbox"/> Client's requirement was not delivered to Operation team</p> <p><input type="checkbox"/> Client's requirement or inspection standard was not delivered to inspector/auditor</p> <p><input type="checkbox"/> Procedure not followed –Protocol / Manual / IFI</p> <p><input type="checkbox"/> Inadequate Procedure</p> <p><input type="checkbox"/> Did not meet TAT</p> <p><input type="checkbox"/> Reporting Error</p> <p><input type="checkbox"/> Improper Performance/Attitude</p> <p><input type="checkbox"/> Corruption</p> <p><input type="checkbox"/> Other category, please explain in detail.</p> <p><input type="checkbox"/> No Conclusive Evidence to Support the Claim</p>





### Establishment and Revision History

Rev No.	Page Affected	Effective date	Revised content	Prepared by	Reviewed by	Approved by
00	-	April 01, 2015	Establishment of documents	Yuvraj Jambhale	Veerendra Ingle	Sarath Chandran
01	01	April 01, 2016	Client account manager change to client co-ordinator	Yuvraj Jambhale	Veerendra Ingle	Sarath Chandran
02	1-5	September 24, 2016	CTM changes to TM Clause amended 4.1.12,4.1.14,4.2.1, 4.2.4.1, 4.2.12,	Yuvraj Jambhale	Veerendra Ingle	Sarath Chandran
03	1-5	April 05, 2017	TAT, flow chart added, corrections in definitions	Yuvraj Jambhale	Saravana Kumar	Sarath Chandran
04	1-5	April 20, 2017	TAT, flow chart modified, corrections in definitions	Saravana Kumar	Yuvraj Jambhale	Sarath Chandran
05	1,2 & 5	May 24, 2017	4.1.1. added and 4.2.1 modified	Saravana Kumar	Yuvraj Jambhale	Sarath Chandran
06	All	June 01, 2017	IM to Manager, HOD to Operations Manager, Inspection to Inspection, audits and assessment	Saravana Kumar	Yuvraj Jambhale	Sarath Chandran
07	All	February 23, 2018	All procedure has revised	Yuvraj Jambhale	Sarath Chandran	Sarath Chandran
08	All	June 04, 2018	-Cl3.2 Added with definitions of critical, major and minor -Cl 5.2.2 added -Cl 5.4- added with delay in response to client -cl.5.4.1.2-added word 'product certification' cl.5.4.2.1-added clause -Client co-ordinator replaced with Executive-client service -Annexure added	Yuvraj Jambhale	Saravana Kumar	Sarath Chandran
09	03,	May 14, 2019	cl.5.3.2, 5.6.2, 6.5.2, - complaint /appeal handling register discarded and replaced with webQBMS portal.	Yuvraj Jambhale	Vasudev Vibhute	Sarath Chandran