

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
Customer service executive	<ol style="list-style-type: none"> 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 Director-operation. 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)	<ol style="list-style-type: none"> 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	<ol style="list-style-type: none"> 1.Detailed unbiased investigation of received complaint or appeal. 2.Forwarding investigation report to quality manager with supportive evidence.
Quality Manager	<ol style="list-style-type: none"> 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.
Customer service Manager	<ol style="list-style-type: none"> 1.Member of complaint or appeal committee. 2.To support in final decision on investigation report as a committee member.
Technical Manager	<ol style="list-style-type: none"> 1.Assisting in appeal and complaint committee. 2.Member of complaint or appeal committee.
Director-Operation	<ol style="list-style-type: none"> 1.Redress customer complaints 2.Member of complaint or appeal committee.

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Executive Director	Reviewing customer feedback, complaints and ensuring settlement of complaints and appeals.
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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, Customer service Manager 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 Customer service executive 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. Customer service executive 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. Customer service executive will register the complaint under tab 'Feedback' in webQBMS portal.

5.3.3 Customer service executive will arrange initial Conference call with Respective manager, Quality manager, Integrity manager and Customer service manager for communication of received complaint, to start further investigation process and decide timeline to close the complaint.

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5.4. Investigation:

If any delay is anticipated in following investigation phases (I, II, III) at any time respective manager will communicate to Customer service executive 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 Customer service executive

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. Customer service executive 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 Customer service executive 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

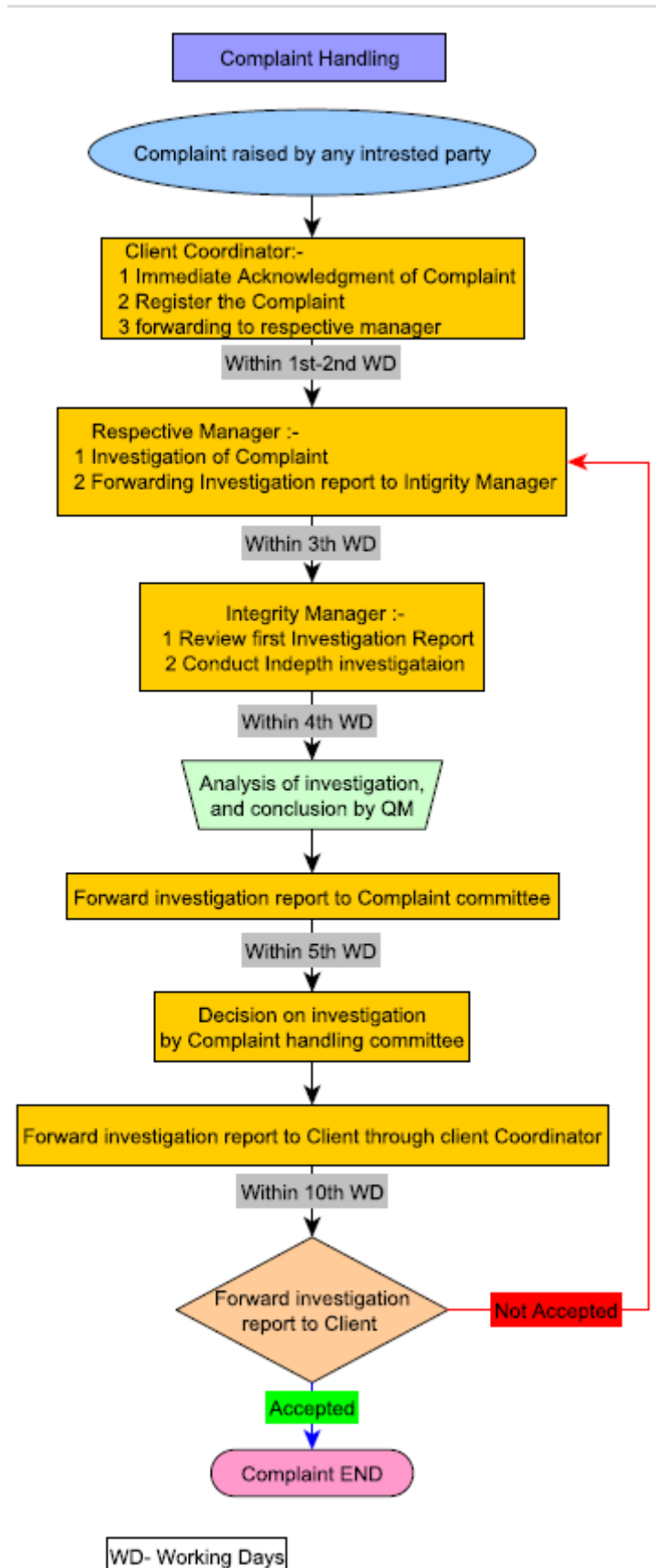
5.6.2The tracking of current position of complaint is visible to Director Operation, QM, Client Executive and manager, inspection manager under tab 'Feedback' in webQBMS portal.

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

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Complaints TAT:

Stage	Duration	Ownership
1.Acknowledge of complaint & Registration of complaint in under tab 'Feedback' in webQBMS portal.	Immediate	Customer service executive
2.Forwarding complaint to respective manager	Immediate	Customer service executive
3. First investigation	1 st to 2 nd working day	Respective manager
4. Detail investigation	3 rd working day	Integrity manager
5. Analysis of investigation, and conclusion	4 th working day	Quality manager
6. Decision on investigation & reply to client	5 th working day	Complaint handling committee
7. Formal closure	10 th working day	Customer service executive



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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.rsjq.com). Any manufacturer or auditee can send the appeal to respective customer service executive /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 customer service executive /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. Customer service executive will acknowledge the appeal with date of closure. Further any more information required will be clarified with appellant.

6.2.2. Customer service executive 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

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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 Customer service executive
- 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. Customer service executive 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.

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6.5 Follow up:

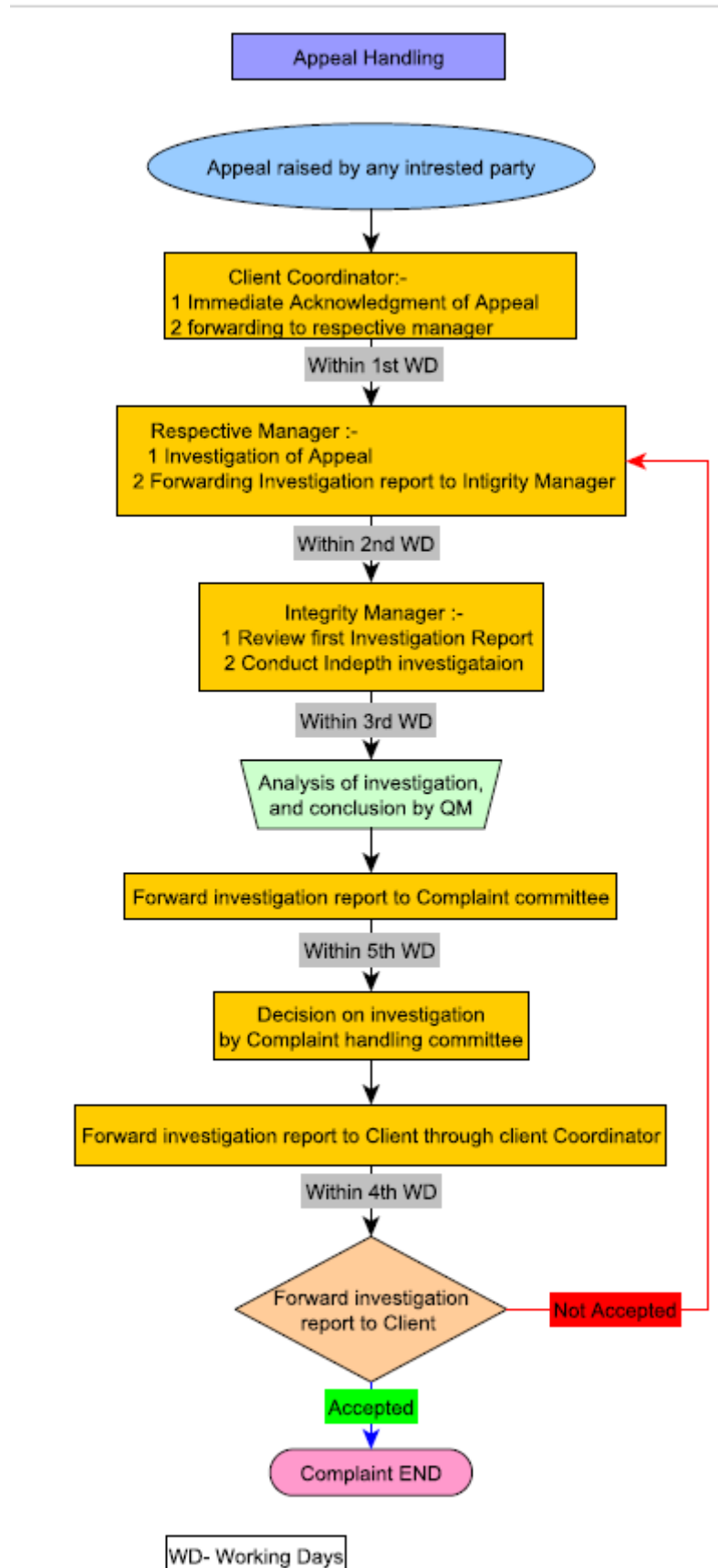
6.5.1. QM shall maintain the record for appeal received, actions taken, and replies sent, to know the status of current appeal

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	Customer service executive
2.Forwarding appeal to respective manager with CC to another manager	Immediate	Customer service executive
3. First investigation	1 st working day	Respective manager
4. Detail investigation	2 nd working day	Integrity manager
5. Analysis of investigation, and conclusion	3 rd working day	Quality manager
6. Decision on investigation	4 th working day	Appeal handling committee
7. Formal closure	4 th working day	Customer service executive



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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

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	Yuvraj Jambhale	Saravana Kumar	Sarath Chandran

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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
10	All	July 01, 2020	-Header replaced with RSJ registered logo. - "Executive client service" changed to "Customer service executive" -"Manager Client service" changed to " Customer Service Manager" -cl 5.3.3 added.	Vasudev Vibhute	Yuvraj Jambhale	Sarath Chandran
11	All		-Header replaced with "Responsible value creation" logo.	Vasudev Vibhute	Yuvraj Jambhale	Sarath Chandran