




1. **PURPOSE0**

 The purpose of this instruction is to describe the methods to be adopted for the management of internal and external customer's compliments and complaints/information, appeals and disputes received.

2. **FIELD OF APPLICATION**

This instruction applies to compliments and complaints/information, appeals and disputes received by RINA, relevant to Marine Services.

3. **DEFINITIONS AND ABBREVIATIONS**

3.1 **GLEGA**

Legal Affairs

3.2 **APPEAL**

Written customer communication stating a disagreement about decisions taken by RINA concerning the non issuance, suspension or withdrawal of certification.

3.3 **COMPLAINT**

Written or verbal customer's communication stating dissatisfaction, relating to the product/service provided by RINA.

3.4 **COMPLIMENT**

Written or verbal customer's communication stating an higher than normal level of satisfaction, relating to products and services supplied internally and externally, e.g. an office receives a communication from an internal office or external client highly satisfied for the extreme speed in the response received to an enquiry or the highly effective support received for solving a particularly complex matter. Mere appreciations for the activities carried out are not to be considered compliments.

3.5 **C&C**

Compliments and Complaints Database

3.6 **INFORMATION**

Written or verbal communication stating a dissatisfaction with the product/service supplied by organisations certified by RINA, including anonymous one.

3.7 **OU**

Organizational Unit

3.8 **MCLSC**

Marine Classification & Statutory Certification

3.9 **MGTCG**

Marine Global Technical Competences Governance

3.10 **MTS**

Marine Technical Support



4. RECORDING OF C&C

- ☉ C&C relevant to Marine Services are recorded on "C&C Classification Services" database

5. C&C COMMUNICATION CHANNELS FOR CUSTOMERS

- ☉ When signing a contract with the customer, the availability of channels (see below) for submitting C&C to RINA Services shall be clearly explained to customers.

NOTE: When possible, such information should be included in contractual documentation.

Besides direct communication channel (customer interface person coordinates, reference OU e-mails, commercial or project meetings, ...) RINA Services shall make available general facilities for the communication of C&C to interested parties: Website channel (dedicated forms on RINA internet web site page and e-mail address), Telephone calls, E-mail, Faxes, Letters, other means different from the above mentioned.

NOTE: RINA web site provides specific instructions to interested parties on how to submit complaints using general facilities and above listed channels.

Furthermore, an automatic system foresees, at the completion of each significant periodical survey or at the dispatch of approved drawings, that the customer is requested to fill in an evaluation questionnaire, based on 4 questions: "Overall RINA service offered", Problem solving attitude, "Timeliness of responses" and "Easy and effectiveness of contacts". For each field a rating from 1 (low satisfaction) to 5 (high satisfaction) may be assigned and a comment may be added to explain the reason of a negative (or positive) feedback.

In case of low rating (2 or less) the feedback is recorded in the C&C database as a complaint.

For Plan Approval activities please refer to IS-MGTTCG-PLA-01 para 5.

All C&C received through above listed channels are addressed (automatically when received by RINA web site forms or manually for telephone calls, faxes, letters, other) to MCLSC or MGTTCG as applicable, as neutral "reception" points and then made available to the interested OU if not already provided.

6. COMPLIMENTS CONTROL

- ☉ Any OU receiving a compliment shall promptly:
 - identify the relevant Process / Scheme;
 - identify the OU involved, if the compliment is not relevant to activities of its own competence (C&C database will automatically send a notification to the OU involved);
 - acknowledge receipt of the compliment, if deemed appropriate;
 - update to "closed" the relevant status on the database.

7. COMPLAINTS / INFORMATIONS CONTROL

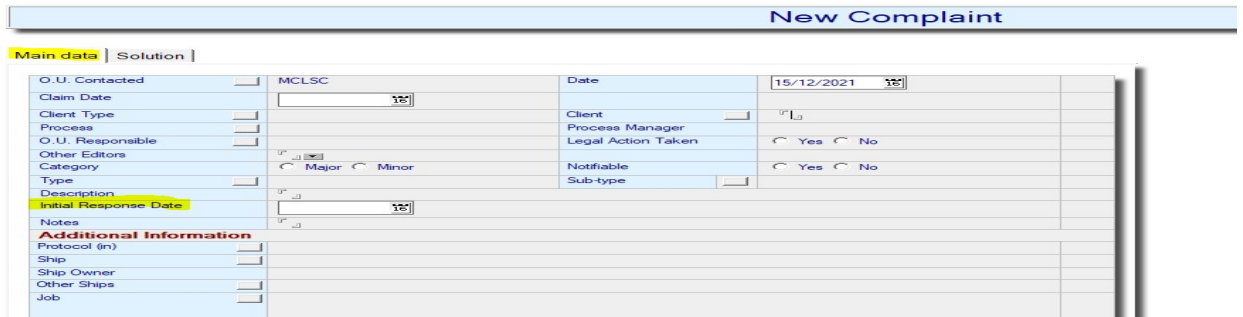
Complaints and information received through direct communication channels are to be managed according to paragraph 7.1.

For negative feedbacks received through the automatic system, MCLSC carries out, at least on a monthly basis, the evaluation of the ratings received and, in case of low rating (2 or less) records the feedback in the C&C database as a complaint and communicates to the involved OU that a complaint has been assigned. The involved OU shall manage the complaint as described in the paragraph 7.1.

7.1 PRELIMINARY ANALYSIS

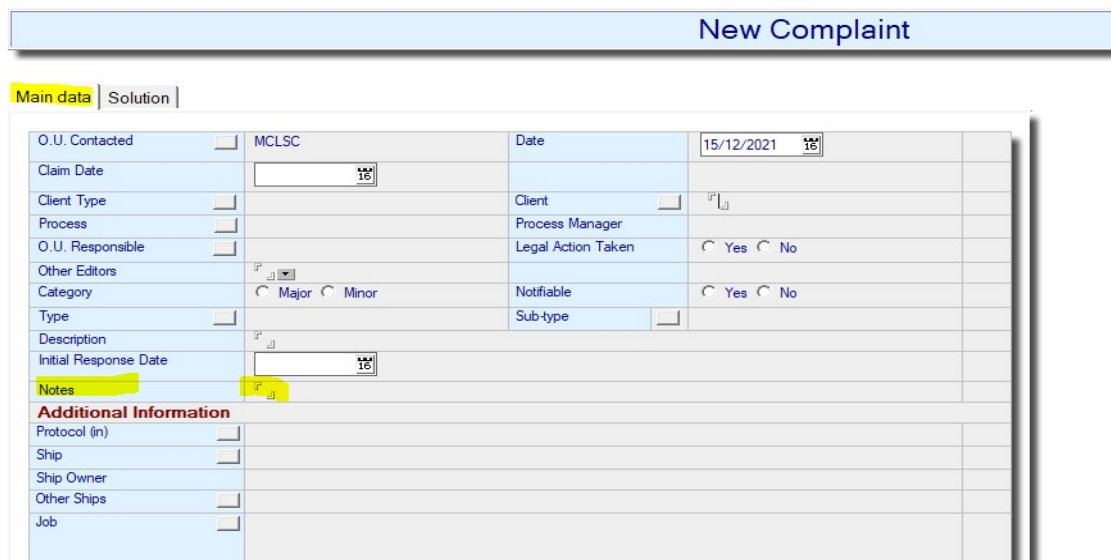
- ☉ Any OU receiving a complaint or an information shall, within 72 hours:
 - perform a preliminary analysis in order to identify the OU responsible for the services/products which are the subject of the complaint/information (this may or may not be the OU receiving the complaint);
 - identify the process / certification scheme involved, if applicable;
 - acknowledge receipt of the complaint/information and advise the claimant that their complaint/information

will be evaluated (see attachment 1 / allegato 1 and attachment 2 / allegato 2, respectively for facsimile of reply to a complaint and to an information in English and Italian languages) copying the acknowledgement sent to the OU responsible for the management of the complaint/information; the date of the first reply is to be recorded in the database (see below screenshot);



The screenshot shows the 'New Complaint' form with the 'Main data' tab selected. The 'Initial Response Date' field is highlighted in yellow. Other visible fields include 'O.U. Contacted' (MCLSC), 'Date' (15/12/2021), 'Claim Date', 'Client Type', 'Process', 'O.U. Responsible', 'Other Editors', 'Category' (Major/Minor), 'Type', 'Description', 'Notes', 'Additional Information', 'Protocol (in)', 'Ship', 'Ship Owner', 'Other Ships', and 'Job'.

- record the complaint/information on the C&C database, selected according to the criteria specified under point 4:
 - ✓ inserting the data, the portal keyword and references of the claimant on the “Main Data” page (address, telephone number, e-mail, person to contact, etc..),
 - ✓ attaching a pdf copy of the complaint/information received and of the acknowledgement communication sent, in the “Problem details” page, “Notes” field. All other subsequent communications related to the complaint are to be added in this space.



The screenshot shows the 'New Complaint' form with the 'Main data' tab selected. The 'Notes' field is highlighted in yellow. Other visible fields include 'O.U. Contacted' (MCLSC), 'Date' (15/12/2021), 'Claim Date', 'Client Type', 'Process', 'O.U. Responsible', 'Other Editors', 'Category' (Major/Minor), 'Type', 'Description', 'Initial Response Date', 'Notes', 'Additional Information', 'Protocol (in)', 'Ship', 'Ship Owner', 'Other Ships', and 'Job'.

- ☉ C&C database will automatically send a notification of the opened complaint/information to the OU responsible for its correction.

In case of complaints/information relevant to Marine Services, such complaints/information are categorized in:

- **Major Complaint.** *Where the claimant considers there is evidence of inadequate service and may seek cancellation or rework, or where it is advised that future work may be withheld or legal action is threatened.*
- **Minor Complaint.** *Where the claimant considers there is some evidence of inadequate service, but the consequences as stated in the definition of a major complaint do not apply, e.g. a general statement of dissatisfaction would be considered a minor complaint.*
- **Notifiable Complaint.** *Where the complaint is of a technical nature and the claimant is questioning the technical adequacy of the technical standard being applied or its implementation (e.g. rules not adequate or application of the rules not adequate) this is to be considered as a notifiable complaint. In general notifiable complaints are not associated with commercial issues (e.g. invoicing) or issues such*

as late attendance, late submission of deliverables or late response. Notifiable complaints are to be categorized as either Major or Minor Notifiable Complaints in accordance with the definitions of Major and Minor given above.

A reference table relevant is given in Attachment 3 with the most common 'types' of complaint, the possible 'action taken', the 'category' and the involved 'process manager'. This table is only intended as to be a general guide and each complaint is to be categorized on a case-by-case basis in line with the definitions detailed above.

☉ Where a complaint is received, for which legal action is either threatened or being taken, the OU receiving the complaint is in addition responsible for forwarding a copy of the complaint to the MCLSC and to GLEGA preferably within 24 hours but in all cases not more than 72 hours of receipt.

☉ If GLEGA is involved in complaint/information, this fact shall be recorded in the C&C database, in the field "Other OU charged to" on "Problem details" page.

NOTE: What is stated above also applies to both verbal complaint/information and to anonymous information, which are to be analysed and, if deemed consistent, recorded in the C&C database.

7.2 MANAGEMENT

7.2.1 Complaints/information recorded on "C&C classification database"

☉ The OU responsible for the management of the complaint/information:

- evaluates if the complaint/information is consistent;
- if not consistent, rejects the complaint/information and informs the claimant accordingly (see fac-simile in Attachment 4 / allegato 4 in English and Italian languages);
- if consistent, collects the elements needed for its correction and defines the correction to be carried out. In case of major and/or notifiable complaints, the correction is to be proposed to the relevant Process Manager (who ensures independent verification, because he is not involved in the activities subject of the complaint) (see Note 4),
- carries out the correction (as agreed by Process Manager in case of major and/or notifiable complaints) within one month (major complaint) or two months (minor complaint) from the date of receipt (date of opening in case of low rating customer's feedback);
- communicates to the claimant the completion of the correction, attaching all the evidence related to the correction carried out (letters, e-mails, reports, etc.) in the "Solution" page "Notes" field;

New Complaint

Main data | **Solution**

Actions	<input type="text"/>				
Justified complaint	<input type="radio"/> Yes <input type="radio"/> No				
Notes	<input type="text"/>				
Closed on	<input type="text"/>				
Protocol (out)	<input type="text"/>				

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- records the correction carried out in the database, in the "Solution" page "Actions" field;

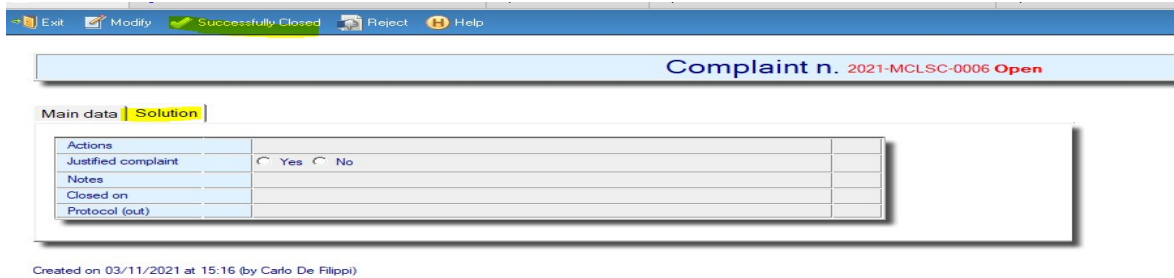
New Complaint

Main data | **Solution**

Actions	<input type="text"/>				
Justified complaint	<input type="radio"/> Yes <input type="radio"/> No				
Notes	<input type="text"/>				
Closed on	<input type="text"/>				
Protocol (out)	<input type="text"/>				

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- updates to 'completed' the status of complaint/information on database, by pushing "Successfully Closed".



C Process Manager (see Note 4),

- evaluates if, in addition to the agreed correction, also a corrective action is to be taken to avoid recurrence; in the affirmative, records an internal non-conformity, to be managed in accordance with procedure IS-MCLSC-QMS-01.
- monthly monitors the status of the complaint/information and the effectiveness of their management. In case of complaint/information not yet closed in the due time, sends a reminder to the involved OU responsible and to the relevant MTS that has to support the involved OU in the completion of complaints. In case of complaint/information not closed after 1 month from the due completion date, reminders are sent also to the Superiors of the involved UO.

Note 4: independent verification as he/she is not involved in the activity related to the complaint is done by:

- MCLSC for Classification activities and Training and Qualification of surveyors/auditors/inspectors and for Testing activities,
- MGTCG for Plan Approval activities and Training and Qualification of Plan Approval staff, and GLEGA can also be involved for assistance.

7.3 ANALYSIS AND CONCLUSION

MCLSC carries out every six months an analysis of compliments and complaints/information received in the period. The attention is placed on the most significant and most recurring aspects coming from the Client complaints in order to identify any possible trend and undertake possible actions.

MCLSC includes the above actions and considerations in the Six-Monthly report, for examination by the RSSE Top Management. The above actions and considerations are also used as an input to the annual QMS review.

For Plan Approval activities please refer to IS-MGTCG-PLA-01.

7.4 FILING

- C** All records relevant to compliments, complaints/information received (incoming and outgoing communications, evidence of corrections carried out, etc...) are to be filed permanently in the C&C database.



ATTACHMENT 1 - FAC-SIMILE OF REPLY TO A COMPLAINT

To: Claimant

cc: OU responsible for the management of the complaint

Subject: Complaint

Reference is made to your communication n° dated stating the dissatisfaction with the service provided by RINA Services.

We acknowledge your communication and we assure you that its contents are being carefully evaluated by our Organisation in order to evaluate and address your concerns.

Hence, while conducting our evaluation, we may need to contact you for further clarification in order to better understand the reasons for your dissatisfaction and, subsequently, communicate to you the action that RINA is going to undertake, in relation to your complaint.

We confirm our commitment to operate for the continual improvement of our activities in order to achieve higher levels of customer satisfaction.

Kind regards.

RINA Services S.p.A.



ALLEGATO 1 - FAC-SIMILE DI RISPOSTA AD UN RECLAMO

Destinatario: Reclamante

cc: UO responsabile della gestione del reclamo

Oggetto: Reclamo

E' fatto riferimento alla Vostra comunicazione n° in data attestante l'insoddisfazione del servizio fornito da RINA Services.


Riscontriamo la Vostra comunicazione e Vi assicuriamo che le Vostre considerazioni sono attualmente oggetto di attenta valutazione da parte della nostra Organizzazione al fine di valutare e risolvere le Vostre insoddisfazioni.

A tale riguardo, nel condurre la nostra valutazione, può essere necessario contattarVi per eventuali chiarimenti onde meglio comprendere le ragioni della Vostra insoddisfazione e, successivamente, comunicarVi l'azione che RINA intende intraprendere, in relazione al Vostro reclamo.

Vi confermiamo il nostro impegno ad operare ai fini del miglioramento continuo delle nostre attività per il raggiungimento del più elevato grado di soddisfazione del Cliente.

Cordiali saluti.

RINA Services S.p.A.

	MANAGEMENT OF CUSTOMER'S COMPLIMENTS, COMPLAINTS / INFORMATION	IS-MCLSC-ACP-03
		Rev. 2
		Page 8/12

ATTACHMENT 2 - FAC-SIMILE OF REPLY TO INFORMATION

To: Claimant

cc: OU responsible for the management of the information

Subject: Information

We acknowledge receipt of your communication n° dated concerning a complaint against the Organisation whose Management System is certified by RINA and we thank you very much for your information, which allows us to improve the efficiency of our assessments of the concerned Organisation as they are also based on objective elements provided by its customers.

As you know RINA, being an accredited certification body, has to systematically assess the complaints received from the Organizations it has certified.
Any relevant follow up action will have to be managed by the certified Organization.

In particular, during our next audit planned to the Organization in question, the management of your complaint will be thoroughly analyzed.

The outcome of our assessment will be communicated to you.

We take this opportunity to confirm our commitment to continually improve the Management Systems/ Product / Personnel of the Organizations we have certified, also in relation to your expectations, and to send you our best regards.

RINA Services S.p.A.



ALLEGATO 2 – FAC-SIMILE DI RISPOSTA AD UNA SEGNALAZIONE

Destinatario: Reclamante

cc: UO responsabile della gestione della segnalazione

Oggetto: Segnalazione

Riscontriamo la Vostra comunicazione n° in data relativa ad un reclamo verso l'Organizzazione il cui Sistema di Gestione è certificato da RINA e Vi ringraziamo sentitamente della cortese segnalazione, che ci permette di migliorare l'efficacia delle nostre valutazioni presso l'Organizzazione in oggetto in quanto basate anche su elementi oggettivi forniti dai suoi clienti.

Come a Voi noto RINA, in quanto OrganiScheme Managero di Certificazione accreditato, deve sistematicamente valutare i reclami ricevuti dalle Organizzazioni da esso certificate. Qualsiasi successiva azione in merito al Vostro reclamo dovrà essere gestita dall'Organizzazione certificata.

In occasione della prossima visita prevista presso l'Organizzazione oggetto della segnalazione, la loro gestione del Vostro reclamo sarà esaminata approfonditamente.

L'esito del nostro esame Vi sarà comunicato in seguito

Cogliamo l'occasione per confermarVi il nostro impegno a perseguire il miglioramento continuo dei Sistemi di Gestione/ Prodotti / Personale delle Organizzazioni da noi certificate, in relazione anche alle Vostre aspettative, e per inviarVi i nostri migliori saluti.

RINA Services S.p.A.



**MANAGEMENT OF CUSTOMER'S COMPLIMENTS,
COMPLAINTS / INFORMATION**

IS-MCLSC-ACP-03

Rev. 2

Page 10/12

ATTACHMENT 3 – REFERENCE TABLE FOR COMPLAINTS RELEVANT TO MARINE SERVICES

(Note: The table below is only a general guide. Each complaint is to be categorized individually on a case by case basis in line with the definitions contained in para 7.1)

N.	Type	Action taken	Category (see Note)	Process Manager	Notifiable Y/N (see Note)
1	Claims on drawing approvals relating to adequacy of technical approval or adequacy of the RINA rules	Review of subject approval or rules	May be Major or Minor	MSDTC	Y
2	Wrong client address	Documentation sent to the correct address	Minor	Control Support Unit	N
3	Claim about invoice	Clarification given to the client	Minor	Control Support Unit	N
4	Survey reports not sent in due time	Priority has been given	Minor	MCLSC	N
5	Reminder for certificate issue	Priority has been given	Minor	MCLSC	N
6	Reminder for drawing approval	Priority has been given	Minor	MCLSC	N
7	Reminder for no reply given	Priority has been given	Minor	MCLSC	N
8	Ship status not updated	Ship status updated	Minor	MCLSC	N
9	Survey not properly completed technically	Arrangements made for survey completion - Clarification requested to Surveyor/Auditor;	Major	MCLSC	Y
10	Surveyor unavailable for the survey	Clarification given to the client; new date agreed	Major	MAOPE	N
11	Surveys not recorded	Clarification requested to Surveyor/Auditor	Minor	MCLSC	Y
12	Testing procedure not followed	Clarification requested to Surveyor	Major	MCLSC	Y
13	Unclear or Undue non conformity	Clarification requested to Surveyor/Auditor – subsequent action taken and communicated to client	Major	MCLSC	Y
14	Unclear or undue recommendation	Clarification requested to Surveyor/Auditor– subsequent action taken and communicated to client	Major	MCLSC	Y
15	Unclear or undue red remark	Clarification requested to Plan Approval Staff – subsequent action taken and communicated to client	Major	MSDTC	Y
16	Unclear or undue request	Clarification requested to Surveyor/Auditor– subsequent action taken and communicated to client	Major	MCLSC	Y
17	Wrong data in Databases	Database updated	Minor	MCLSC	Y
18	Wrong data on issued certificates	Correct certificate issued	Minor	MCLSC	Y
19	Wrong data on ship status	Ship status updated	Minor	MCLSC	Y



ATTACHMENT 4 - FAC-SIMILE OF REJECTION OF A COMPLAINT

To: Claimant

cc: OU responsible for the management of the complaint

Subject: Complaint

Reference is made to your communication n° dated stating the dissatisfaction with the service provided by RINA Services.

We regret to say that, after our detailed analysis, the delivered service turned out to be compliant with the contractual and regulatory requirements, hence we do not deem necessary any action.

We confirm our commitment to operate for the continuous improvement of our activities in order to achieve higher levels of customer satisfaction.

Should you require any further clarification, please do not hesitate to contact us.

Kind regards.

RINA Services S.p.A.



ALLEGATO 4 - FAC-SIMILE DI RIGETTO DI UN RECLAMO

Destinatario: Reclamante

cc: UO responsabile della gestione del reclamo

Oggetto: Reclamo

E' fatto riferimento alla Vostra comunicazione n° in data attestante l'insoddisfazione del servizio fornito da RINA Services.

Siamo spiacenti di informarvi che, a seguito di attenta valutazione, il servizio fornito è risultato conforme ai requisiti contrattuali e normativi, pertanto non riteniamo necessarie ulteriori azioni.

Vi confermiamo il nostro impegno ad operare ai fini del miglioramento continuo delle nostre attività per il raggiungimento del più elevato grado di soddisfazione del Cliente.

Restiamo a disposizione per ogni ulteriore chiarimento.

Cordiali saluti.

RINA Services S.p.A.