


1. PURPOSE

 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 Transport & Infrastructure Certification Services (T&I), relevant to the various services provided. Where the term "Certification" is shown it is referred to all activities performed by T&I, whether under ISO 17065 (Product Certification), or under ISO 17020 (Third Part Inspection) or other.

3. DEFINITIONS AND ABBREVIATIONS

3.1 GLEGA

Corporate Legal Affairs

3.2 APPEAL

Written customer communication stating a disagreement about decisions taken by T&I concerning the non issuance, suspension or withdrawal of certification/inspection report.

3.3 TICPL

Transport & Infrastructure Compliance & Process Improvement Director.
When only Acronym TICPL is shown that means one or more of TICPL Staff.

3.4 COMPLAINT

Written or verbal customer's (internal or external) communication stating dissatisfaction, relating to the product/service supplied by T&I.

3.5 COMPLIMENT

Written or verbal customer's communication stating a 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.

3.6 CSI

Committee for Safeguarding Impartiality

3.7 C&C

Compliments and Complaints Database

3.8 DISPUTE

Disagreement situation that may not be addressed as complaint or appeal (e.g. controversy, discord).

3.9 INFORMATION

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

3.10 OU

Organisational Unit of RINA Services S.p.A. (RSSE)

4. RECORDING OF C&C

- ☉ C&C related to T&I Certification Services (Management System, Product and Personnel Certification, Inspection Bodies Type A) are recorded on "C&C Certification 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 Certification 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, ...) T&I Certification 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.

- ☉ All C&C received through above listed channels shall be addressed (automatically when received by RINA web site forms or manually for telephone calls, faxes, letters, other) to TICPL as a single neutral "reception" point and then made available to the interested OU if not already provided.


6. COMPLIMENTS CONTROL

- ☉ Any OU receiving a compliment shall promptly:
 - Record the elements of the compliment on the pertinent C&C database, selected according to the criteria specified under point 4;
 - 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

7.1 PRELIMINARY ANALYSIS

- ☉ Any OU receiving a complaint or an information shall within 72 hours:
 - Perform a preliminary analysis to identify the OU responsible for the services/products that 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 his 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;
 - Record the complaint/information on the pertinent C&C database, selected according to the criteria specified under point 4 by:

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- ✓ Filling in claimant's data, portal keyword and references on the "Main Data" page (address, telephone number, e-mail, contact person, 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 have to be added in this page.
- ☉ C&C database will automatically send a notification of the opened complaint/information to the OU responsible for its management.
- ☉ 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 copy of complaint to the Corporate QHSSE Manager and to GLEGA preferably within 24 hours but in all cases not more than 72 hours from reception.
- ☉ If the 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 pertinent C&C database.

7.2 MANAGEMENT

7.2.1 Complaints recorded on "C&C Certification database"

- ☉ The OU responsible for the management of the complaint:
 - evaluates if the complaint is consistent (e.g. evidence available of non-compliance of the service provided with the applicable standard) or not:
 - **If not consistent:**
 - Proposes the rejection of complaint in the C&C database in the "Solution" page, "Proposed Action" space, "Main Action" field and attaches in the "Notes" field copy of the communication to be sent to the claimant to inform him/her about the rejection of the complaint, explaining the relevant reasons (see attachment 3 / allegato 3 in English and Italian languages for fac-simile of complaint rejection communication);
 - Upon approval by TICPL Manager through the C&C database and upon consultation with GLEGA when involved, the UO responsible informs the claimant as agreed and attaches the communication sent in the "Solution" page, "Effective action" space, "Notes" field;
 - In absence of claimant's reply within 2 months from the date of communication to the claimant relevant to the rejection of the complaint, the OU responsible closes the complaint in the C&C database.
 - **If consistent:**
 - Collects the elements needed to define its correction (all the elements have to be recorded in the "Problem Details" page in the "Notes" field) ;
 - Proposes the correction to TICPL Director (who ensures independent verification, because he is not involved in the activities subject of the complaint) for verification and approval (*for this purpose TICPL may request GLEGA support*) by inserting it in the C&C database, in the "Solution" page, "Proposed Action" space, "Main Action" field; the correction proposal has to include the draft communication to the claimant, which is to be attached in the "Notes" field.
 - Following verification and approval by TICPL Director, the OU responsible carries out the correction as soon as possible;
 - Communicates to claimant the results of our actions;
 - Records the correction carried out in the database, attaching all the evidences related to the correction carried out (letters, faxes, e-mails, reports, etc.) in the "Solution" page, "Effective action" space, "Notes" field;
 - Updates to 'Completed' the status of complaint on C&C database, entering the completion date.
- Collects feedback from the claimant; in the absence of claimant's reply within 2 months from the date of

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communication to the claimant relevant to the completion of the correction, the status of the complaint on the pertinent database is automatically updated to 'Closed'.

C TICPL Director:

- Evaluates if, in addition to agreed correction, also a corrective action has to be taken to avoid recurrence; in the affirmative case sends a written message to Corporate QHSSE Manager requesting him to record an internal non conformity, to be managed in accordance with procedure IS-TICER-QMS-01;
- Quarterly monitors the status of complaints and the effectiveness of their management. In case of complaints not yet closed in the due time, sends a reminder to the responsible OU.

7.2.2 Information recorded on "C&C Certification database"

C The OU responsible (In the following shown as OU) for management of the "Information" (For "Information" see "Definitions and Abbreviations"):

- Verifies if the information was received also by the charged certified Organization (In the following shown as Organization) e.g. when the Organization is in copy; if the Organization is not in copy, the OU informs, if pertinent, the Organization (see fac-simile in Attachment 4 / Allegato 4 in English and Italian languages) requesting for elements that give proof of the correct management of information;
- Evaluates the elements received from the Organization and performs one of the following actions:

a) If the received elements clarify the management of information and give evidence of claimant's satisfaction, the OU drafts the proposal of communication to claimant, informing him/her accordingly;

b) If the received elements are not enough to completely clarify the management of information, but give anyway evidence that the information was managed by the Organization, the OU verifies the management of information at the next scheduled audit/inspection;

If the audit/inspection is scheduled more than two months later the date of reception of information (see Note 1), the OU sends to claimant a communication regarding the defined actions based on elements received;

c) If the received elements do not clarify the management of information and do not assure that the information was conveniently managed by the Organization, the OU performs an extra audit/inspection in the shortest time.


- Upon completion of one of the actions at items a), b) and c) the OU fills:
 - Evidences of actions implementation done by the Organization
 - A proposal of communication to claimant on the outcome of the analysis of the management of the information by the Organization (see fac-simile in Attachment 5 / Allegato 5 in English and Italian languages)

into the database, in the "Solution " page, "Proposed action" space, "Main action" field for verification and approval by the concerned process Manager / Head (see Note 2);

Note 1: if the documentation related to information is acquired for the next scheduled audit/inspection to the organisation, the OU adds an appropriate remark in the pertinent "Notes" field of ASCESI software for audits management (where applicable); if the audit/inspection to the organization is planned in organization's Periodical Audit Plan, the correction may be carried out more than two months later the date of reception.

Note 2: the process Manager / Head ensures independent verification as he/she is not involved in the activity related to the information, and can call on GLEGA for assistance.

- Following the above verification and approval, the OU sends the communication to claimant and evaluates, with the Organization and with the claimant if the information and its correction should be made publicly available;
- Records the action carried out in the database, attaching all the evidences related to it (letters, faxes, e-mails, reports, etc.) in the "Solution" page , "Effective action" space, "Notes" field;
- Updates to 'completed' the status of information on C&C database, entering the closing date.
- In the absence of the claimant's reply within 2 months from the date of communication to the claimant relevant to the completion of the correction, the status of the information on the database is automatically updated to 'closed'.

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☉ Process / Scheme Manager:

- Quarterly monitors the status of the information and the effectiveness of their management. In case of information not yet closed in the due time, sends a reminder to the involved OU responsible.

7.3 ANALYSIS AND CONCLUSION

- ☉ An analysis of compliments and complaints/information received is made every year and relevant results recorded for the evaluation of the customer satisfaction, as an input to the Process of Planning and Review of the Quality Management System (see IS-TICER-QPR-01), as specified below:
- By TICPL Director as regards complaints,
 - By process Managers / Heads, as regards information

7.4 FILING

- ☉ 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 Certification database".

8. APPEALS CONTROL

- ☉ Appeals against decisions taken by RINA Services S.p.A. T&I Certification Services concerning the non-issuance, suspension or withdrawal of Certificates / Reports are collected and filed by the interested OU. The OU confirms receipt of the appeal by writing to the appellant and informs the latter that ascertainment by RINA will be carried out.
- ☉ The OU that receives the appeal forwards all the documentation related to the appeal (appellant's documents, audit reports, other documents deemed necessary, etc.) to TICPL Director, involving the interested Process Manager / Head as applicable and, if necessary, the appellant.
- ☉ TICPL Manager evaluates the need to record an internal non conformity; in the affirmative case, he acts according to IS-TICER-QMS-01. Following the ascertainment, TICPL Director communicates the results to the appellant.
- ☉ The appeal which is not solved, is submitted to the CSI, together with a report, by TICPL Director. The CSI, after the relevant investigations, and after any contacts with the appellant, gives its opinion on the appeal within 60 days from the date of receipt of the appeal by CSI and communicates by registered letter with return receipt the opinion to the appellant.
- ☉ TICPL maintains records relevant to appeals for at least 3 years, unless otherwise required in the accreditation/recognition/notification agreements or rules.


The procedure for submitting appeals is available in the RINA web site.

9. DISPUTES

- ☉ The modalities for the management of any dispute that may rise from the parties relevant to T&I Certification Services, with reference to the interpretation and development of the Contract, are detailed in the document "General contract conditions governing system, product and personnel certification" which is also available on the RINA web site www.rina.org.

10. COMMUNICATION WITH THE ACCREDITATION / REGULATORY BODIES

- ☉ In the case of complaints/information and appeals related to certification processes / schemes under accreditation/recognition/notification, when foreseen by the Accreditation/Regulatory Body Rules (e.g. the complaint/information come directly from an Accreditation/Regulatory Body, or the Accreditation/Regulatory Body is informed of the complaint/information by the claimant), TICPL sends copy of related documentation to the Accreditation/Regulatory Body.

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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° dat ed stating the dissatisfaction against the service provided by RINA Services T&I Certification.


We acknowledge receipt of your communication and we assure you that your considerations are being carefully managed by our Organisation 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 actions 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.

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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 verso il servizio fornito da RINA Services T&I Certification.


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.

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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 as Certified / Inspected by RINA T&I Certification 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/recognized/notified 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 charged Organization.

In particular, during our next Audit / Inspection planned at the charged Organization, 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 of Organizations we have certified / inspected, also in relation to your expectations, and to send you our best regards.

RINA Services S.p.A.

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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 soggetta a Certificazione / Ispezione da RINA T&I Certification 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 Organismo di Certificazione / Ispezione accreditato/riconosciuto/notificato, deve sistematicamente valutare i reclami ricevuti dalle Organizzazioni da esso certificate/ ispezionate. Qualsiasi successiva azione in merito al Vostro reclamo dovrà essere gestita dall'Organizzazione coinvolta.

In occasione della prossima Visita / Ispezione all'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 delle Organizzazioni da noi certificate, in relazione anche alle Vostre aspettative, e per inviarVi i nostri migliori saluti.

RINA Services S.p.A.

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ATTACHMENT 3 - 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° dat ed stating the dissatisfaction with the service provided by RINA Services T&I Certification.


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.

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ALLEGATO 3 - 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 T&I Certification.


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.

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ATTACHMENT 4 - FAC-SIMILE OF NOTIFICATION OF INFORMATION

To: Organization for which information has been received

Subject: Information

This is to inform you that we have received information related to

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Therefore, you are kindly requested to send us detailed information on the management of the above specified situation by your Organization, in order to allow us to supply a correct answer to the body which informed us of the matter.

If we do not hear from you on the matter within 30 days from the date of this communication, we will be obliged to suspend the certificate of your

We would like to inform you that during the next periodical visit to your Organization, your management of this information will be very carefully checked.

Kind regards.

RINA Services S.p.A.

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ALLEGATO 4 – FAC-SIMILE DI NOTIFICA DI UNA SEGNALAZIONE

Destinatario: Organizzazione per la quale si riceve la segnalazione

Oggetto: Segnalazione

Con la presente Vi comunichiamo di aver ricevuto una segnalazione relativa a

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Vi chiediamo pertanto di volerci cortesemente inviare informazioni dettagliate relative alle gestione della suddetta situazione da parte della Vostra Organizzazione, in modo tale da permetterci di fornire una corretta risposta all'Organismo che ci ha informato della cosa.

Vi informiamo che in caso di mancata risposta da parte Vostra entro 30 giorni dalla data della presente comunicazione, saremo costretti a sospendere la certificazione del Vostro

Vi informiamo che in occasione della prossima visita periodica alla Vostra Organizzazione, la gestione da parte Vostra della presente segnalazione sarà attentamente esaminata.

Cordiali saluti.

RINA Services S.p.A.

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ATTACHMENT 5 - FAC-SIMILE OF NOTIFICATION OUTCOME OF INFORMATION

To: Claimant

Subject: Information

We wish to inform you that following your communication related to, the company (XXX) has been informed of the information and has communicated to us the action taken as a result of your complaint.


Following the outcome of the checks made, we consider that the company (XXX) has dealt with your complaint in compliance with the requirements of the (Management System/Product) Standard.

In view of the above, we think that, on the basis of our Certification / Inspection Rules, the complaint may be considered resolved.

It is to be understood that the check made by our Organization is limited to the correct management of the complaint on the basis of our Rules and does not enter whatsoever into the merits of your complaint or controversy regarding the company (XXX).

Kind regards

RINA Services S.p.A.

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ALLEGATO 5 – FAC-SIMILE DI NOTIFICA DEL RISULTATO DI UNA SEGNALAZIONE

Destinatario: Reclamante

Oggetto: Segnalazione

Desideriamo informarVi che a seguito della Vostra comunicazione relativa a, la Società (XXX) è stata informata dell'argomento e ci ha comunicato le azioni intraprese a seguito del Vostro reclamo.

A seguito del risultato delle verifiche effettuate, possiamo ritenere che la Società (XXX) abbia gestito il Vostro reclamo in conformità ai requisiti dello Standard (Sistema di Gestione / Prodotto).

Pertanto riteniamo che, sulla base dei nostri Regolamenti di Certificazione, il reclamo possa essere considerato risolto.

Si tenga presente che il controllo effettuato dalla nostra Organizzazione si limita alla verifica della corretta gestione del reclamo sulla base dei nostri Regolamenti e non entra nel merito del Vostro reclamo o controversia relativa alla Società (XXX):

Cordiali saluti

RINA Services S.p.A.