

HANDLING CUSTOMER COMPLAINTS AND FEED BACK

1.0 Purpose :

The purpose of this procedure is to define a system of HANDLING CUSTOMER COMPLAINT AND FEED BACK (HCCFB)for addressing and redressing customer complaints and grievances.

1.1 Application

This procedure is applicable to all projects entrusted to **KSPHC** by the clients, individuals, organizations for execution, and includes both construction as well as project monitoring services, e-tendering and reverse auction, if any entrusted or out sourced to KSPHC by any organization. This will also apply to complaints received in KSPHC in respect of any goods/services or consultancy expected of KSPHC.

2.0 Responsibility

Responsibility and Authority for various activities connected with Handling Customer Complaints and Feed Back is described in procedure part.

3.0 Terms and definitions

- 1) **Audit** – Systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled.
- 2) **Characteristic** – Distinguishing feature.
- 3) **Complainant** – Person or organization including their representative making a complaint.
- 4) **Complaint** - expression of dissatisfaction made to an organization related to its services or the complaints handling process itself, where a response or resolution is explicitly or implicitly expected.
(**A Complaint Register to be maintained in all Divisions and a Master Register with PRO**).
- 5) **Customer Handling Objective** – measurable aim that a complaints handling process is expected to achieve, as required by the complaints handling policy
- 6) **Complaint Handling Management Representative(CHMR)** – officer authorized to represent / handle / record all customer complaints. (See 4.1. para 2 of “Initiation of Complaints Handling Procedure”).
- 7) **Customer Handling Policy** - statement by the top management of an organization of its intentions and principles in relation to its overall complaints handling process which provides a frame-work for action for the setting of objectives

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- 8) **Customer service** - interaction of an organization with the customer throughout the product life-cycle
- 9) **Concession** – Permission to use or release a product that does not conform to specified requirement.
- 10) **Customer / Client** – Organization or person that receives a product / service.
- 11) **Design and Development** – Set of processes that transform requirements into specified characteristics or into the specifications of a product, process or system.
- 12) **Deviation Permit** – Permission to depart from the originally specified requirements of a product prior to realization.
- 13) **Document** – Information and its supporting medium
- 14) **Feed back-** opinion, comments and expressions of interest in the product or the complaints handling process
- 15) **Process** – Set of inter-related or interacting activities, which transforms inputs into outputs.

Note 1: Inputs to a process are generally outputs of other processes.

Note 2: Processes in an organization are generally planned and carried out under controlled conditions to add value.

Note 3: A process where the conformity of the resulting product cannot be readily or economically verified is frequently referred to as a special process.

- 16) **Procedure** – Specified way to carry out an activity or a process.
- 17) **Product** – Result of a process, services; (eg., getting buildings constructed through agencies and its monitoring / e-tendering / reporting)
- 18) **Progress evaluation** – assessment of progress made on achievement of the project objectives
- 19) **Project** – Unique process consisting of a set of coordinated and controlled activities with start and finish dates, undertaken to achieve an objective conforming to specific requirements, including the constraints of time, cost and resources.
- 20) **Project management** – planning, organizing, monitoring, controlling and reporting of all aspects of a project and the motivation of all those involved in it to achieve the project objectives.
- 21) **Project management plan** – document specifying what is necessary to meet the objective(s) of the project.
- 22) **Quality Assurance** – Part of quality management focused on providing confidence that quality requirements will be fulfilled.

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- 23) **Quality Characteristic** – Inherent characteristic of a product, process or system related to a requirement.
- 24) **Quality Control** – Part of quality management focused on fulfilling quality requirements.
- 25) **Quality Management** – Coordinated activities to direct and control an organization with regard to quality.
 Note: Directions and control with regard to quality generally includes establishments of quality policy and quality objectives, quality planning, quality control, quality assurance and quality improvement.
- 26) **Quality Plan** – Document specifying which procedures and associated resources shall be applied by whom and when to a specific activity projects, product, process or contract.
- 27) **Quality Planning** – Part of Quality management focused on setting quality objectives and specifying necessary operational processes and related resources to fulfill the quality objectives.
 Note: Establishing quality plans can be part of quality planning.
- 28) **Requirement** – need or expectation that is stated, generally implied or obligatory.
- 29) **Review** – Activity undertaken to determine the suitability, adequacy and effectiveness of the subject matter to achieve established objectives.
- 30) **Specification** – Document stating requirements.
- 31) **Supplier** – Organization or person that provides a product (A producer, distributor, retailer or vendor of a product, or a provider of a service or information; in contractual situation, a supplier is sometimes called a “contractor”; in the context of projects, ‘contractor’ or ‘subcontractor’ is often used in place of “supplier”).
 Note: A supplier can be internal or external to the organization.
- 32) **Verification** – Confirmation, through the provision of objective evidence, that specified requirements have been fulfilled.

3.1.0 Classification of Complaints :

Complaints can normally be classified into :

- 1) Quality Complaints and (2) Ordinary Complaints.

1) Quality Complaints : - (Dealt with in QSP No. 23, “Quality Control”). Complaints affecting regulations of KSPHC or the customer relationship, product or service, fall into this category. Complaints about the quality or rather that complaint which concerns or effects the quality of the product, (in the case of this Corporation, the construction of buildings) belong to this category. As the Corporation itself is not engaged in the physical construction of buildings, but getting them constructed by other agencies, namely contractors, the matter of quality or setting right the defect / s if any,

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would have to be taken up with such agencies, as per the terms of contract agreement.

2) Ordinary Complaints: All other types of complaints would fall into this category, including :

i) Anonymous / pseudonymous: A complaint not normally enquired into, unless the complaint has specific details of defective product, service, or if it is about one or more erring functionaries.

ii) Higher formations : Those complaints which are made or referred by top Government functionaries for action and which mandate/merit an immediate reply and immediate action, come under this category, the time margin / limit has to be strictly adhered to.

Likely Major Complaint : Also, those complaints which if found valid and correct would result in MAJOR NC - would be dealt with seriously,

Likely Minor Complaint : Similarly, those complaints which if found valid and correct would result in MINOR NC - would be dealt with accordingly.

Observation : Those complaints which are in the nature of a comment or a remark can be categorized as mere observation.

3.2.0. Penalties to be levied :

i) Civil Works . . . : In case of civil works - defective materials used or bad quality of the product and workmanship, ordinarily, a penalty of upto Rs. 1 lakh for each instance, can be levied as per the Special Terms of Tender and relevant clause of the Agreements entered into with the contractor.

ii) Electrical Works . . . : In the case of electrical works, defective quality of material or bad quality product and workmanship, a penalty of upto Rs. 10,000/- can be levied, as per the Special Terms of Tender and the relevant clause of the Agreements entered into with the contractor.

iii) Major/Minor NCs by Employees : When persons in the employment of KSPHC is found deliberately violating laid down systems and procedures, leading to the detection of a Major or Minor NC (non-compliance), the employee at the discretion of the Management may be punishable/ penalized for a major penalty of a minimum of Rs. 100/- and a maximum of Rs. 10,000/-. This may be in addition to any other disciplinary action as per law. In case of mistakes by the persons

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in the employment of KSPHC resulting in Major NC/s, Rs. 100/- to Rs. 10,000/-

3.2.1. Rewards : Management may also establish a system of rewarding **suo-moto** generated complaint by the employees which result in substantial savings to KSPHC or warding off/avoiding embarrassment to the Corporation.

4.0. Procedures :

This procedure provides details of activities in a sequential form. It is implied that whenever, in a process step the resulting output is not conforming to the acceptance criteria, preceding process(es) have to be repeated to correct the situation.

This procedure covers all the processes of Handling Customer Complaints and Feed –back.

Following abbreviations and terms are used in the table;

D = Document	R = Record
CMD = Chairman and Managing Director	ED = Executive Director
FA = Financial Advisor	CE = Chief Engineer
SE = Superintending Engineer	EE = Executive Engineer
DES = Designs	
Govt. = Government of Karnataka	Client = User department
PRC = Project review committee consisting of CMD, ED, FA, CE and other designated employees as determined by the CMD / ED.	

4.1. Reference

- a) ISO 9001: 2000 and ISO 10018
- b) Quality Manual Clause Number 7.0.

4.2. Initiation of Complaints Handling Procedure

A complaint could be received orally or in writing. Where oral the KSPHC personnel receiving such a complaint will reduce it into writing and if possible obtain the authentication of the same from the person making the complaint. As far as possible, enough details of the complaint to enable his identification in future if and when required should be made available on the complaint together with its date and time of receipt. Complaint may also be received through post, telephone, media, e-mail/sms, feedback or computer

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posting or any other means of communication and may also be *suo-moto* culled out from media reports, discussions, inspections and supervisory or audit reports.

PRO, KSPHC is designated as the Complaint Handling Management Representative. (See sl no. 6 of Terms and Definitions). All personnel receiving complaints from whatever sources will immediately communicate with PRO, KSPHC and obtain a complaint ID by which the process of complaint can be traced throughout its handling. Either the original or a photo copy of the complaint in its entirety will also make available to the PRO for records. An acknowledgement containing the complaint ID will be made available to the person making the complaint by the personnel receiving the complaint.

Sl. No.	Responsibility	Activity description	D / R	D / R Reference
1	Complaint Handling Management Representative - (CMHR *)	Receipt of communication / complaint from client / end user and forwarding a copy to HO CHMR for records/n.a. immediately	D	Client's / end user's Communications
2	CMHR (Analysis and evaluation)	Scrutiny of complaint (as to its severity, urgency, extent (value in rupees)	R	- do -
3	CMHR	Identifying and forwarding to the concerned / Division / Sub-Dvn / Section – for suitable remedy	D	- do -
4	CMD/ED/CE/FA/EE (Divisional) or AEE Sub-Dnl/PRO	Periodic review of complaint and the nature of their handling and their adequacy. Communicating action taken to the client or end-used/user department	D D	Complaint Register. The communication sent by the concerned.
5	EE (Divisional)	Communicating with the client/end user about his reaction to the redressal of the complaint & if satisfied – to close the complaint and if not – inform the concerned Divn /Sb-Dn once again to take further action as	D	The communication so sent by EE(Divisional) and / or CMHR

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		necessary.		
6	CMD / ED / EE (Divisional) / CMHR	If still not satisfied with the actions taken as above, to refer cthe complainant to any external agency for redressal.	D	The communication so sent by EE(Divisional) and / or CMHR to the client / end user
7	CMD / ED / EE (Divisional) / CMHR	Analysis and reason / source of complaints: reporting to Board for major decision/s for avoiding recurrence of complaints, <i>noting and sending copy of complaint and action thereon to all concerned as a valuable input/learning from experience.</i>	D/R	The result of the labour in col 3 and the communication sent to all the concerned for future reference/learning from experience.

4.3. Monitoring of Complaints Handling Process : CMD,ED,CE and IFA at Head Office and Executive Engineers at Divisions, shall decide as to who shall monitor the complaint/s from time to time. (A copy to given to the PRO a unique number to be obtained for tracing / tracking the complaint). The officer/s so appointed shall enquire into the fact whether the earlier complaiant/s received have been satisfactorily disposed of and report findings to the above officers.

4.4. Auditing of Complaints Handling Process : At the time of internal audit, the internal audit team will look into all the complaints received at the concerned Section/Division during the period and report the status of action taken as to adequacy . They will bring to notice of Management deficiency or follow-up action needed in this regard.

4.5. Management Review of Complaints Handling Process : The Complaints Handling Management Representative will bring to the notice of

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the management the status of complaints received in the HO and Divisions and the action taken thereon. The management instructions and orders thereon will be communicated to the respective functionaries for compliance/records.

4.6. Action to reduce time taken for resolving/redressing customer complaints : Periodic review/s by management and internal audits will ensure that the time taken to resolve / redress complaints could be reduced over a period of time.

4.7. Complaints closure: To be closed after satisfactory resolution of the complaint (if possible, an endorsement to the effect to be obtained from the Complainant).

5.0 Records

Sl. No	Name of the Record (client / end user's communication ref.)	Authorizing Personnel	Custodian of record	Retention Time

5.1. Process measures / implementing decisions taken while resolving customer complaints for avoiding recurrence of complaints and for improving overall efficiency / quality.

Sl. No	Name of the process	Process Measure	Method & frequency	Responsibility

Associated Documents : to be devised: Form for complainant (having Details Of Complaint, Product Description (the exact nature of defect/subject matter of complaint) Problem Encountered; Remedy Requested; Date/signature with Enclosure Form for follow-up.

- a) Procedure for control of documents
- b) Procedure for control of records QSP.

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6.0 Revisions :

Revision "00" – First issue.

7.0 Distribution of procedure.

Chief Coordinator-QMS shall issue this procedure to all the functional heads.

*Approved by	Top Management Committee
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*Board of Directors of KSPHC in its 107th meeting held on 04-12-2004 vide resolution No. 2004 / 047 has constituted a Top Management Committee consisting of CMD, ED, CE and FA with MR and CC as co-opted members. Further the Board has authorised CMD to approve and issue the QSPs after review by the Top Management Committee.

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