

Non Conformances & Complaints Policy and Procedure

This policy covers the following company's part of Shield Services Group: Shield Environmental Services Ltd, Shield Fire and Security Ltd, Shield Mechanical and Electrical Services Ltd, Shield Demolition Ltd & Shield Flooring Services Ltd.

1. Policy

The organization shall continually improve its effectiveness by actively listening to its customers and staff. It will determine a straight forward procedure for communicating with customers in relation to customer feedback, including customer complaints. This document shall define the requirements for reviewing nonconformities (including customer complaints).

The information gathered shall be reviewed by senior management on a regular basis.

When a non-conformance has been identified and raised, the management responsible for the area being audited shall ensure through investigation and decision-making that the necessary corrections and corrective actions are taken and resolved.

The organization shall take action to eliminate the causes of nonconformities in order to prevent recurrence. Corrective actions shall be appropriate to the effects of the nonconformities encountered.

Preventative actions shall also be put in place to eliminate the causes of potential nonconformities in order to prevent their occurrence. These preventative actions will be rolled out to our departments and divisions that may benefit from this experience.

Definition: A complaint is an expression of dissatisfaction, however made, and whether justified or not, about the standard of service, action or lack of action by Shield Environmental Services or its staff.

2. Complaints Procedure

(Please see (QM096) the Non-conformance process flowchart for a visual description of below.)

Step 1 – Raising of a non-conformance:

- 2.1 Complaint made by customer, member of staff or the general public. This can be made face to face, via email, letter, or telephone conversation.
- 2.2 A non-conformance record (QM020) will need to be raised by the person receiving the complaint. The complaint will be graded from 1 – 2.
1=Serious, 2=Moderate. (See part 3 below for examples)
- 2.3 If the complaint is serious the details will need to be passed to the Managing Director, Health and Safety Director and Health & Safety Manager.

Step 2 – Allocation of responsibility:

- 2.4 Submit the complaint to the Quality Manager and Technical Assistant.
 - 2.4.1 The new non-conformance needs to be added to the non-conformance database (QM021) and a non-conformance folder placed on the server.
 - 2.4.2 The Complaint will be allocated to the responsible Department Head or Manager for investigation and resolution. The non-conformance record will need to be sent along with evidence of initial communication from customer (if exists). The

expectation will be that complaints are resolved within 14 days of acknowledgement. (Non-conformances actions which are not complaints will also need to be resolved within 14 days.)

Step 3 – The investigation:

- 2.5 An acknowledgement letter or email will be sent to the client to state that the issue will be investigated and we will respond with either a resolution or response within 14 days of acknowledgement. The acknowledgement letter or email needs to be sent within 2 days of receiving the initial complaint.
- 2.6 If this target hasn't been met, a phone call will be made to the client to apologise for the delay and explain the complaints process.

Step 4 – What are the corrective/preventative actions?

- 2.7 The root-cause(s) will be identified and corrective and preventative actions will be determined to resolve the issue and prevent it from reoccurring.
- 2.8 The non-conformance record (QM020) will be updated as evidence of actions.
- 2.9 A resolution letter (QM018) or email will be sent to the customer to justify our actions, apologise for inadequate service (if necessary) and to state a resolution. This needs to be sent within 14 days of the letter or email acknowledgement being sent.
- 2.10 If this target is not met, a phone call needs to be made to the customer to apologise for the delay, confirm a letter is on the way and verbally explain the resolution.
- 2.11 Both the updated non-conformance record and resolution letter needs to be passed back to the Quality Manager/Technical Assistant for sign off by a Quality certified representative, with any supporting information. If the actions or root cause is not sufficient they will be passed back to the responsible manager to resolve.

Step 5 – Sign off:

- 2.12 All documents need to be saved onto the server as evidence.
- 2.13 The non-conformance database (QM021) needs to be updated with all actions and resolution dates.
- 2.14 Complaints data to be communicated to Senior Management on a regular basis.

3. Complaints Grading Guidance

Complaints we be graded by the Technical Management Department upon the criteria below:

Grade	Category	Examples of when to use this category
1	Serious	• Our service fell seriously short of Shield policy. • Our work was not up to industry or acceptable standards. • We failed to follow Health and Safety Policy and Risk Assessments. • Our actions caused an unacceptable inconvenience to the customer e.g. Work delayed for longer than is reasonable • The actions of our staff caused offence to a customer or member of the public.

2	Moderate	- Property was accidentally damaged but we are able to correct this promptly. - We are informed of an issue with our work and we were able to rectify this promptly. - The level of work was satisfactory by industry standards, but not up to Shield's expectations of 'a high quality service'. - Our actions caused a small inconvenience to the customer e.g. needing to chase us for information.
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4. Root Cause Categories

Design/Layout
Construction
Installation
Lighting-Heating-Ventilation-Noise-Weather
Safety Device/Equipment
Machine guards
Mechanical operation
Tools used incorrectly
Tool not inspected pre-use
Wrong tool used
Housekeeping
Machinery
Material or mechanical failure
Wear and tear
Purchasing inferior item
Job control – work planning
Job control – deadlines
Insufficient/inadequate training
Inadequate communication
PPE not provided
PPE not available
PPE not used
Use of PPE not enforced
PPE not work correctly
Instructions misunderstood
Refused to obey instructions or rules
Lack of experience in present occupation
Temporary occupation
Contact with animal or insect
Physical disability or medical condition
Horseplay
Assault
System of work not communicated
System of work did not identify the risks/controls
System of work not followed/enforced
System of work not understood
Contractor selection/oversight
No Show Non Conformance

5. Training guidance

Here are a few pointers that staff must be aware of:

- An Expression of dissatisfaction should be regarded as a complaint
- Minor customer concerns/issues are sent to the Technical team to log so we have a record, should this escalate into a complaint
- Anyone in the company can raise a non-conformance
- The Technical Management department will facilitate compliance to the complaints procedure
- Designated Managers will be held responsible for actioning complaint resolution
- Customer communication is critical to effective complaint's management – acknowledging the complaint and communicating the resolution is of key importance.
- A 'customer' can be defined as a client, member of the public, contractor, etc. However, it can also be regarded as an internal colleague or manager. We must deliver an effective service to each other for the company to be a success.

6. Minimum training requirements

Everyone will receive training in the non-conformance and complaints system to understand how it works and enable them to raise issues – e.g. administrators, managers, directors and site staff.

7. Associated documentation

QM017 – Complaint acknowledgement letter
QM018 – Complaint resolution letter
QM020 – Non-conformance and complaint record
QM021 – Non-conformance database

8. Associated process flow-charts

QM096 – Non-conformance process flowchart