

Guidelines on Filings of Complaints and Objections
[RE-5]

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1. Revision Record

Revision No.	Revision Date	Revised Sections	Reasons for Revision
0	11.01.2016	-	Newly enacted

2. Applicability

- 2.1 This guideline sets forth the provisions on the handling process of filings of complaints and objections pertaining to the product certification operations provided by ClassNK.

3. Handling Process of Complaints

3.1 What are complaints?

- 3.1.1 Complaints are declarations of dissatisfaction from an individual or organization (including registrants) expecting a response with regards to matters related to the product certification operations provided by ClassNK or products that have been certified by ClassNK, and it refers to the written declaration of matters other than filings of objections submitted to ClassNK.

3.2 Acceptance and notification

- 3.2.1 If ClassNK receives a complaint in writing, it shall study whether the complaint is relevant to the certification activities and scope of certification it bears responsibility for as a certifying institution and decide on whether to accept the filing of complaint.
- 3.2.2 ClassNK shall notify the applicant in writing if it accepts the filing of complaint. If it does not accept the filing of complaint, it shall send a written notification to the applicant containing the fact that the complaint was not accepted attached with the reasons thereto.
- 3.2.3 If the complaint is directed to a registrant, ClassNK may not be able to respond to the complaint due to contractual relations with the organization, so it is recommended that the filer of the complaint directly contacts the registrant.

3.3 Study and formulation of necessary measures

- 3.3.1 After accepting the complaint, ClassNK shall appoint personnel who was not involved in the said complaint to study the details of the complaint and check its validity.
- 3.3.2 The appointed personnel shall gather and verify the necessary information. If the complaint is directed to a registrant of ClassNK, the personnel shall contact the registrant at an appropriate timing.
- 3.3.3 ClassNK shall conduct necessary studies before deciding on the measures that need to be taken and the response to the filer of the complaint.

3.4 Notification of response

- 3.4.1 ClassNK shall notify a response to the filer of complaint.
- 3.4.2 ClassNK shall notify that the case has been closed to the filer of complaint if the filer of complaint agrees to the response.
- 3.4.3 If the filer of complaint disagrees with the response, the filer of complaint may request for another study within 30 days from the date of receiving the notification. However, the filer of complaint may only do so if he/she has additional information to submit such as the discovery of new facts.
- 3.4.4 After accepting the request for another study, ClassNK shall conduct a study in accordance with the handling processes described in section 3.3 and shall notify the results in a response to the filer of complaint.
- 3.4.5 If the filer of complaint disagrees with the response to the additional study and hopes to request for further study, another study shall be conducted and the results shall be deliberated.
- 3.4.6 The deliberation shall be conducted by staff not involved in the filing of complaint.
- 3.4.7 After deliberation, a decision shall be reached on the study results and on the response (measures) to the complaint, and the results of the deliberation shall be notified to the filer of complaint.

3.5 Announcement of complaint

- 3.5.1 Whether or not to announce the details and results of the complaint, or the scope to which it shall be announced, shall be decided together with the filer of complaint after consultation.
- 3.5.2 ClassNK shall make a decision on whether or not to make the said announcement upon consultation with the registrant if the registrant is the subject of complaint.

4. Handling Process of Filing of Objection

4.1 What is a filing of objection?

4.1.1 A filing of objection is a written declaration by a filer of objection to ClassNK to reconsider a disadvantageous decision made by ClassNK with regards to product certification operations provided by ClassNK.

4.2 Acceptance and notification

4.2.1 If ClassNK receives a written filing of objection, ClassNK shall decide on whether to accept the filing of objection after studying the details of the filing and evaluating its legitimacy.

4.2.2 Someone who was not involved in the decision of the review or certification of the subject of objection shall conduct the study.

4.2.3 ClassNK shall notify the applicant in writing if it accepts the filing of complaint. If it does not accept the filing of complaint, it shall send a written notification to the applicant containing the fact that the complaint was not accepted attached with the reasons thereto.

4.3 Study and deliberation

4.3.1 ClassNK shall conduct the study and deliberation after accepting the filing of objection. The deliberation shall be conducted by staff not involved in the filing of complaint.

4.3.2 After deliberation, a decision shall be reached on the study results and on the response (measures) to the filing of objection. If the filer of objection wishes, he/she may explain the reasons for filing the objection.

4.4 Notification of deliberation

4.4.1 ClassNK shall notify the results of deliberation to the filer of objection.

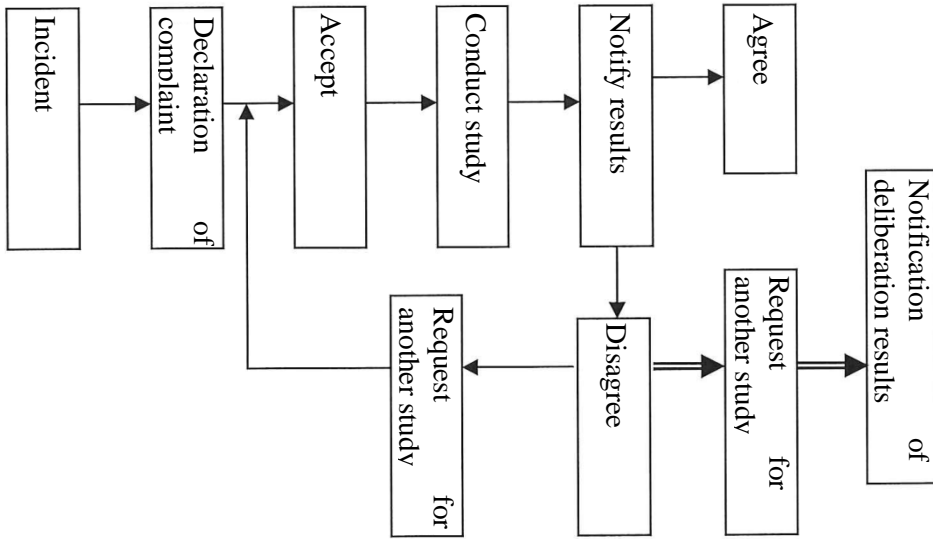
4.4.2 ClassNK shall notify that the case has been closed to the filer of objection if the filer of objection agrees to the deliberation results.

4.4.3 If the filer of objection disagrees with the deliberation results, the filer of objection may request for another deliberation within 30 days from the date of receiving the notification.

5. Revision Measures and Corrective Measures

5.1 ClassNK shall take the appropriate revision measures and corrective measures in accordance with the necessary measures decided by ClassNK with regards to the filings of objection and complaint that have been accepted.

Attachment 1: Flow Chart of Handling Process of Complaints



Attachment 2: Flow Chart of Handling Process of Filing of Objection

