



# KumaranEducationalFoundation

No: 58 / A -1, Kumaran Towers, TPK Main  
Road,Palanganatham, Madurai-625003.  
TamilNadu, India.

## QualityProcedure- Procedure for Complaints & Appeals

DOC.NO

KEF/ DI/14.0

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### 1. Purpose

The procedure establishes the procedure for handling complaints and appeals relating to the Hygiene Rating Certification Scheme.

### 2. Scope

This procedure is applicable to all parts of the hygiene rating auditing system of Kumaran Educational Foundation.

### 3. Definition

**Complaint:** A formal expression of dissatisfaction about KEF personnel, services, and/or clients. The notifications may take many forms e. g. verbally, in letters or e-mails. This may be received from the any stake holder like Accreditation Body, Regulatory Body, User Company or any other body/individual or as feedback to survey.

**Appeal:** An appeal is a notification received by KEF from a client or a user company, expressing a non- agreement with a decision made or provided by KEF

### 4. Responsibilities

This procedure is approved by and issued by Chief Operating Officer. Any amendments to this procedure shall also be likewise approved and issued.

COO is responsible for:

- Appointing the investigation officer for the received and registered complaints,
- Identifying and deciding course of actions (both corrective and preventive),
- Intimating the complainant of the status of course of actions through Technical Manager, if he/she is not involved
- Final authority to determine on course of actions recommended by designated complaint investigating officer
- Passing needful instructions to sub-ordinates or divisions on allocation of resources as required for completing investigation.

Appeals Committee (as appointed by Managing Trustee) shall be responsible for resolution of appeals.

Investigation officer/Manager- As designated shall be responsible for:

- conducting investigation,
- root cause analysis,
- suggesting or recommendation

Trait	PreparedBy	ReviewedBy	ApprovedBy
Name	Komal Yadav	M. Gayathri Devi	M. Gayathri Devi
Designation	Technical Manager	ChiefOperating Officer	ChiefOperating Officer



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**If a person is a part of a complaint or has a cause, they will not be permitted to take part in the process in any way if they have responsibility for it. The managing trustee/COO will designate a replacement for the involved person.**

### 6. Procedure of complaints

Everyone, both internal and external to KEF, can issue a complaint – or appeal – against the verification observations and findings by the KEF Independent verifier. Complaints & Appeals form are available on website and Complainant can also request KEFOffice to provide same.

Complaint can be submitted to COO through email or in hard delivered at office address by complainant.

**Ref: KEF- CUS/R/06**

#### 6.2. Processing of complaints about KEF

Within one day of receiving a complaint, KEF will publish the relevant information in a Complaint/Appeal Handling Register Ref: KEF/CUS/R/02 by the COO. A classification of the complaint will be accomplished within same day of receipt of the complaint. The complaint must be recorded with the identification numbers KEF/HRAA/C01, C02, and so forth.

Within a further three days from COO's intimation, the managing trustee is to be informed of the specifics of the complaint via email or in physical, who will determine the level of the complaint, designate an independent investigator(one who is not connected to the complaint's content), and appoint, designate, or assign an independent investigator(one who is not connected to the complaint).

Note: Before beginning the investigation, an external investigator must complete the Non-Disclosure and Confidentiality Agreement. Ref:KEF/HR/R/13

The managing trustee shall make the decision regarding the resources available to the investigation into complaints and be in charge of directing or instructing all departments/personnel as necessary.

The investigation shall be used to establish a trail of events using following ways –

- Identify the cause of the problem and gather and verify all necessary information for verifying the chain of events
- Recording of statements of the KEF employees (the subject of complaint)

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Name	Komal Yadav	M. Gayathri Devi	M. Gayathri Devi
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- Recording of statements of complainants

Within the shortest possible amount of time, a designated investigator will look into the complaint and perform a root-cause analysis. Although there may need to be a thorough analysis of various issues, there should not be a fixed deadline for completing the investigation.

However, the tentative recommendation is to address it in 15 days. The designated investigator shall provide the managing trustee with a thorough investigation report with recommendations in the form Ref: KEF/CUS/R/07

The managing trustee shall have the discretionary authority to accept and implement recommendations made in whole or in part. However, recommendations must be justified in writing. The basis for the preventive course of action and future course of action shall be the investigation report and its recommendations.

Once agreement has been reached on satisfactory resolution of the complaint, the COO shall:

- Update the complaint form,
- Provide written confirmation of the action to complainant that will be or has been taken to resolve complainant's grievance.

All the received complaints shall be analyzed during the Management Review to indicate the weaknesses and further shall form a part of corrective actions for process improvement.

**In all cases, the parties involved in the auditing process are distinct from one another. No discriminatory actions against the complainant shall be brought up as a result of the complaint's submission, investigation, and decision.**

### 6.3 Corrective and Preventive action

Where complaint pertain to certification activities of KEF and further validated from investigations, Corrective and preventive actions shall include-

- Counselling and training of the concerned employees or all,
  - Provisioning of resources to bring improvement in transparency and compliance
  - Other corrective/preventive action as required depending upon the course of investigation
- Where complaint pertain to certified clients regarding violation of certification norms and further validated from investigation, Corrective and preventive actions shall be decided by FSSAI/QCI.

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## 7 Procedure of Appeals

### 7.1 General

If the complainant is not happy with the resolution of their grievance with KEF, they may lodge a written appeal with Appeals panel I.e. First to Hygiene Rating Audit Agency (HRAA) i.e., KEF, if still not happy then to Quality Council of India (QCI) and if still not satisfied then to Food Safety Standard Authority of India.

In the response to appeal filed by complainant (herein referred as Appellant), Managing Trustee shall first try to resolve the issue by further investigation in the similar process as explained in section 6 of this procedure. The appellant shall be kept apprised of the ongoing appeals investigation taken up by KEF. The outcome of this investigation and final decision shall be informed to the appellant by COO in writing within 15 days of received of appeal.

In all cases, persons engaged in the appeals-handling process are different from those who involved in certification activities.

**Submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.**

### 7.2 Procedure of Appeals

Appeals can be received in writing only-either by letter, email. Upon receiving it is required to be recorded in a **Complaint/Appeal Handling Register Ref: KEF/CUS/R/02** and be recorded with identification number i.e., **KEF/Appeal/01,02 and so on** and an acknowledgement is required to be sent to the appellant through email or telephone. Further, a preliminary review is required to be conducted to confirm the validity of the appeal. Every appeal is required to be responded in writing to the appellant in timely manner (15 calendar days in general) after investigation. If investigation is expected to take more time, an interim progress report is required to be sent to the appellant.

### 7.3 Appeals Cost

No charges will be levied on Appellant.

## 8. Records

RecordName	Responsibility	Record Location	Period
Complaint/Appeal Registration Form	COO	KEF office	03

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			Years
Complaint/Appeal Handling Register	COO	KEF office	03 Years
Complaint/Appeal Report Form	COO	KEF office	03 Years
Non-Disclosure and Confidentiality Agreement	COO	KEF office	03 Years

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