Procedure: Control of Non-conforming Service

1. **SUMMARY**
   1. This procedure defines the requirements for identifying, processing and dispositioning nonconforming service.
   2. Nonconforming service can be discovered at any time, by any person or organization, including employees, the customer, regulatory authorities, etc.
   3. The Operations Manager is responsible for implementation and management of this procedure.
2. **REVISION AND APPROVAL**

|  |  |  |  |
| --- | --- | --- | --- |
| **Rev.** | **Date** | **Nature of Changes** | **Approved By** |
| 0 | 14/11/2020 | Original issue. | Director |
|  |  |  |  |
|  |  |  |  |

1. **DEFINITION**
   1. “Nonconforming service” is any service provided to customers which is found to not conform to requirements. These requirements may be customer requirements, statutory/regulatory requirements, or any other requirement deemed by Retirement Capital.
2. **CONTROLLING NONCONFORMING SERVICES**
   1. When nonconforming services are discovered by employees, this shall be documented on the Nonconforming Service Report (NSR). If the nonconforming service is reported by a third party, including a customer, the appropriate employee shall capture the information provided by the third party on the Nonconforming Service Report, including referencing any applicable notes, emails, or other documentation.
   2. The Nonconforming Service Report is sent to the Operations Manager for review and initial confirmation of the nonconformance. If it is determined the nonconformance did not occur, this can be noted and the NSR closed without further action. If the issue is confirmed, the procedure shall continue.
   3. The Operations Manager shall then document details of the NSR and conduct a root cause analysis, utilizing other personnel and resources as necessary. The Operations Manager may delegate this responsibility, if needed.
   4. The Operations Manager will then oversee a disposition of the nonconforming service. This may include a refund, providing new services, providing corrected services, or other actions. All such actions shall be documented on the NSR form.
   5. If customer approval is sought for the disposition, this shall be recorded on the NSR; if the customer approval is provided in another document or email, this shall be reference on the NSR instead.
3. **NONCONFORMANCE DATA ANALYSIS & TRENDING**
   1. The Operations Manager will present service quality trend data to top management as part of periodic Management Review Meetings.