



STQC IT Certification Services

Complaints/Disputes

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Issue : 03
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Date : 20-05-2020
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0.1 Approval and Issue

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Reviewed by : Management Representative

Approved by : Chief Executive Officer

Note:

1. Management Representative is responsible for issue and distribution of this document including amendments.
2. Holder of this copy is responsible for incorporation of all the amendments and currency of the document.



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0.2 Amendment Record

Amendment No.	Date of Amendment	Nature of Amendment	Page Ref.
1.	15-11-2016	Submission, investigation and decision on complaints/ disputes do not result in any discriminatory actions against the appellant.	5
2.	20.05.2020	BCMS added	At relevant pages



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1.0 Purpose and Scope

1.1 The purpose of this document is to establish procedures for complaints/disputes handling with a view to deriving maximum benefit from any criticism about STQC IT Certification Services or its clients. Where necessary, corrective/preventive actions and quality improvement actions are initiated following an analysis.

1.2 The scope of this document covers :

- * Complaints/disputes against the clients of STQC IT Certification Services;
- * Complaints/disputes raised against STQC IT Certification Services.

2.0 Responsibility

- Management Representative (MR) : Responsible for
- Registration acknowledgement
 - Management of all activities leading to satisfactory disposal
 - Providing information to CEO & Management Committee on related actions
- Management Committee and CEO : Overall responsibility for satisfactory resolution on escalation

3.0 Associated Documents

- | | | |
|-------------------------------|---|---------------------------------|
| ITCERT/D01 | - | IT Manual |
| ITCERT/D02 | - | Products (Schemes) |
| ISMS/D01, ITSMS/D01, BCMS/D01 | - | Respective Certification Manual |

4.0 Definition

For the purposes of this document, the definition contained in clause 1.3 of Doc.ITCERT/D01 shall apply.

5.0 Resources

For the purposes of the activities defined in this document, the personnel resources are identified in ITCERT/D03.

6.0 Procedure

6.1 All complaints/disputes received by STQC IT Certification Services shall be serially registered and acknowledged to the complainants by the Management



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Representative within two working days and ensures that it pertains to certification activities. Simultaneously

- a) for complaints/disputes against the clients of STQC IT Certification Services, the MR Identifies a nominee and forwards copies of complaints/disputes for necessary investigation by fastest means. The complaint is also referred to the concerned client at appropriate time.
- b) for complaints/disputes against STQC IT Certification Services the MR shall himself be the nominee for necessary investigation.
- c) The Certification body receiving the complaint/ dispute is responsible for gathering and verifying all necessary information for validating the complaint.

6.2 Following the registration of a complaint/dispute, the respective nominee who is independent of the persons involved in subject of the complaint shall initiate related actions within three working days. These includes preferably through telephone or any other means :

- * re-acknowledgement of the receipt of complaints/disputes to the complainant
- * ensuring that the complainant has already logged the complaint/disputes in writing to the client
- * polite discussions with the complainant
- * ensuring whether the complainants would like his/her name to be disclosed
- * advising the complainants of the next step and time scale of actions

6.3 After the initial actions, the respective nominees investigate the complaints/disputes and arrange for short notice audits,

- * make a judgement whether additional visit to the client is required. It may be necessary for CB to conduct audit of certified client at short notice or unannounced to investigate the complaint or in response to changes or as follow up on suspended clients
- * where a visit is required, then the client is contacted to arrange a visit within a target of two weeks at a mutually convenient date.. The CB shall exercise additional care in the assignment of audit team because of lack of opportunity for the client to object to the audit team members.

6.4 The targeted time scales for completion of action and closure of complaints/disputes are



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- * 10 working days from receipt to closure if no client visit is required
- * 20 working days from receipt to closure if a client visit is required

In case the above time scales are exceeded, then an interim reply is sent to the complainant, with a copy to CEO, explaining:

- * reasons for elongated time scale
- * forecast the possible completion date

Alternatively, the nominee shall seek to escalate the complaints/disputes to the notice of the CEO for his involvement in disposal action with interim reply to the complainant explaining the situation.

6.5 On completion of the investigation, the nominee shall (preferably speak to the complainant)

- * inform the complainant about the conclusions of the investigation
- * ensure that the complainant understands the limitation of STQC IT Certification Services on complaints against its clients
- * try to gain acceptance of the resolution

6.6 For complaints/disputes relating to STQC IT Certification Services, the nominee shall write a confirmation letter to the complainant along with a copy to the CEO for information. Further where necessary all corrective/preventive actions are initiated to prevent recurrence.

6.7 For complaints/disputes against clients of STQC IT Certification Services, the nominee shall write an appropriate confirmation letter to the complainant with a copy to MR for information.

Further the nominee shall ensure that an appropriate brief is provided for any further auditing of the client during next assessment visit, besides identifying any internal corrective/preventive action.

Since the issue of confidentiality is involved, it is not advisable to convey anything that is not publicly known. Therefore, it is, suggested to use the following options while sending a confirmation letter to the complainant:

- a) If STQC IT Certification Services believed that the complaint is not justified, then the suggested sentence is "we are satisfied that the company has followed its procedure for customer complaints/corrective actions and the routines comply with the requirements of applicable standards".
- b) If STQC IT Certification Services believes that the customers' complaint against its clients is justified, the suggested sentence is "we are satisfied



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that the required corrective actions have been taken/initiated under the clients system and the same will be monitored during the normal schedule of surveillance visits”.

- 6.8 On completion of all actions as identified in paras 6.6 & 6.7 above the registered complaints/disputes can be deemed to have been satisfactorily resolved. Further information on all complaints/disputes and related actions shall be duly reported to the Management Committee as well as the Advisory Board for review and approval. Management Committee has the overall responsibility to ensure adequacy/appropriateness of the actions and satisfactory resolution. A formal communication on closure of complaint and actions taken is communicated to the complainant.
- 6.9 Submission, investigation and decision on complaints do not result in any discriminatory actions against the complainant.
- 6.10 Information to be made public as a result of complaint resolution is agreed with the client as applicable.

COMPLAINT FORMS

1. Complaint Sl. No. :
2. Date of complaint received :
3. Client Name :
Client Ref:
4. Nature of complaint:
(Whether against certification scheme, client or STQC IT Certification Body)
5. Scheme Reference : ISMS/ITSMS/BCMS
6. Date of acknowledgement sent to client
7. Complaint details

8. Name of scheme nominee
9. Action by the scheme nominee



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10. Status of action taken - open/closed

11. Date of closure of complaint

Signature of Document Controller