

# **Handling Complaints under Information Technology Testing Laboratory Approved Scheme**

- Software Applications and Systems for E-governance Solutions

Doc. No.: **STQC-AS-ITTL-12**, Version:1.0



## **Standardization, Testing & Quality Certification**

Department of Electronics & Information Technology  
Ministry of Communications & IT, Govt. of India  
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# AMENDMENT RECORD

AMENDMENT					NATURE OF CHANGE	Approved by
No.	DATE	PAGE No.	Sec. No.	REV. NO.		

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## 1. SCOPE

This document describes the procedure for handling with complaints received from various sources.

This procedure includes handling of all complaints received by STQC Approval Body from any source - against the quality of the testing services provided, personnel involved in approval process, Approved/ Applicant IT Testing Laboratory or any other related to Approval Scheme.

Complaints may be received vide letters, e-mails, faxes, telephonic/oral to be subsequently followed by written complaints, even relevant references appearing in print media. Anonymous complaints shall also be accepted depending on the seriousness of issue.

All complaints are treated as confidential unless desired otherwise by the Government or by law.

## 2. RESPONSIBILITY

Main responsibility for handling of complaints rests with the Technical Operations Manager who will evaluate, investigate & recommend decisions to the Approval Committee which recommends the if necessary adverse decision as per STQC-AS-ITTL-14, Adverse Decision of Approving Body Approved Laboratory.

Head, Approval Body is responsible for monitoring of complaints.

Any complaint against Technical Operations Manager is directly dealt by Head-Approval Body.

Any complaint against Approval Body shall be dealt by the Governing Body, STQC Approval Scheme.

## 3. PROCESS:

### 3.1 Receipt of Complaints:

All complaints received by Technical Operations Manager who maintains Complaint Register pertaining to all complaints in the format –

Complaint No., Date of receipt, Name and address of Complainant, Brief Nature of Complaint, Date of acknowledgement, Root Cause Analysis, Proposed Corrective/Preventive Actions, Intimation Date to Complainant, Actions Taken, Date of closure, Verification of Effectiveness of Closure, final disposal of Complaint.

### 3.2 Acknowledgement:

Upon receipt of Complaint Technical Operations Manager acknowledges to Complainant Immediately with the assurance that the Approval Body will be investigating the complaint and informing the complainant of the outcome at the earliest.

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### **3.3 Review & Analysis of Complaints**

All complaints shall undergo initial scrutiny by the Technical Operations Manager to determine whether they fall within the ambit of STQC Approval Scheme and whether they are valid, based on which any of the following action shall be taken.

- 3.3.1 If a complaint is outside the ambit of STQC Approval Scheme, the complainant shall be informed accordingly and the complaint shall be treated as closed.
- 3.3.2 If information provided in the complaint is inadequate for any meaningful follow-up and the complainant is not able to provide minimum required information such complaints shall also be treated as closed and the complainant shall be informed accordingly
- 3.3.3 If the Complaint is clear, unambiguous & falls within the STQC Approval Scheme and the information provided is adequate then initial investigation is taken up.
- 3.3.4 If details given are inadequate, then the Complainant is intimated accordingly on registration of complaint and requesting for details.
- 3.3.5 If the complaint is against STQC Approval Body, the same shall be registered however, further investigations and proceedings shall be done by the Governing Body, STQC Approval Scheme.

### **3.4 Investigation of Complaints**

Complaints received can be broadly classified as:

- a) Complaints against Approved Laboratories
- b) Complaints against Approval Committee Members and Assessors
- c) Complaints against STQC Approval Body

#### **3.4.1 Complaints against Approved Laboratories**

- 3.4.1.1 After registering the complaint the Technical Operations Manager shall investigate the complaint with the support from Technical assessors & the concerned laboratory coordinator.
- 3.4.1.2 Technical Operations Manager where appropriate shall give opportunity to the laboratory to address the complaint. When this is not appropriate, the officer may seek clarifications from the laboratory and if required may depute Technical Assessor or an Technical expert with the approval of Head- Approval Body to the laboratory to investigate the matter. All expenses related to investigation shall be borne by STQC.
- 3.4.1.3 The Technical Operations Manager shall place the findings of the investigation to the Approval Committee for formulating the recommendations. If the investigations reveal serious concerns with respect to wrong representation of scope of approval, willful and/ or repeated misuse of STQC Approved Laboratory Logo etc. as detailed

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in STQC-AS-ITTL-11 or in case of non-cooperation with the investigation process, the approval status of the laboratory may be recommend for suspension. The same will be further reviewed by the Head-Approval Body for further actions.

- 3.4.1.4 Once approved Technical Operations Manager shall proceed further and implement the actions. If the laboratory is suspended, the procedure as per STQC-AS-ITTL-14 shall be followed for the re-enrollment.
- 3.4.1.5 The complainant shall be informed about the decision/action taken by the STQC Approval Body.
- 3.4.1.6 If the complaint is found invalid, the complainant as well as the laboratory shall be informed accordingly.

### **3.4.2 Complaints against Approval Committee Members and Lead assessor/Technical Assessors**

- 3.4.2.1 Technical Operations Manager shall investigate the complaint in case of complaint against assessor&may seek clarification from laboratory, assessors or other persons who may have knowledge about the matter contained in the complaint.
- 3.4.2.2 In case of complaint against Approval Committee member, the Technical Operations Manager forwards the complaint details to the Head- STQC Approval Body who in-turn will ask the concerned Approval Committee member to provide inputs/explanations.The findings are put up for review by the Technical Advisory Committee and based on the recommendation of the committee Head, STQC Approval Body.
- 3.4.2.3 In case of valid complaints action taken by Approval Body may involve feedback for corrective action followed by monitoring, warning against future recurrence and in extreme case, deletion of the assessor/approval committee member from the empanelment list/Committee.
- 3.4.2.4 The outcome of the investigation shall be informed to the complainant.
- 3.4.2.5 A brief summary of nature of the complaint, outcome of the investigation and action taken shall be added to the monitoring information regarding the concerned Assessors or ApprovalCommittee member will be maintained by Head-STQC Approval Body

### **3.4.3 Complaints against STQC Approval Body**

- 3.4.3.1 When the complaint is against the Approval Body, the same shall be dealt by the STQC Management committee.
- 3.4.3.2 The committee may seek clarification from the person(s) concerned. If an investigation is required, the Committee may include expert (s) as members to help the Committee.
- 3.4.3.3 If the investigation proves STQC Approval Body's fault with adequate evidences/ proof of any officer's intentional involvement; the committee may place a report & propose adverse decision against the concerned to the Governing Body of STQC. In such cases, actions based on Conduct Rules & disciplinary actions shall be followed.

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3.4.3.4 The complainant shall be informed about the outcome of the complaint and action taken by STQC (if any).

### **3.4.4 Reporting on Complaints and other Related Actions**

3.4.4.1 As an outcome of investigation of complaint and root cause analysis (if any) and corrective action is felt necessary; the resolution of complaints is intimated to Technical Operations Manager so that the approval scheme process of Control of Non-Conformities and Corrective Action shall be initiated.

3.4.4.2 All records pertaining complaints shall be maintained up to date by the Technical Operations Manager and Head-STQC Approval Body. The Head-STQC Approval Body is responsible for monitoring of complaints.

3.4.4.3 The Technical Operations Manager shall analyze all the complaints and their outcome for possible trends. The complaints received, their handling and the corrective actions taken shall be discussed as one of the agenda items before STQC Management Committee during Management Review.

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