

Procedure on Complaints & Disputes

- All complaints/disputes received by STQC IT Certification Services shall be serially registered and acknowledged to the complainants by the Management Representative within two working days. 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.
 - b) for complaints/disputes against STQC IT Certification Services the MR shall himself be the nominee for necessary investigation.
- Following the registration of a complaint/dispute, the respective nominee 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
- After the initial actions, the respective nominees investigate the complaints/disputes and
 - * make a judgement whether additional visit to the client is required
 - * 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 targeted time scales for completion of action and closure of complaints/disputes are
 - * 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.

- 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
- 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.
 - 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 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”.

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. Management Committee has the overall responsibility to ensure adequacy/appropriateness of the actions and satisfactory resolution.

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 _____
6. Date of acknowledgement sent to client : ___/___/___
7. Complaint details _____
8. Name of scheme nominee _____
9. Action by the scheme nominee _____
10. Status of action taken - open/closed _____
11. Date of closure of complaint : ___/___/___

Signature of Document Controller