

IC3S

Complaint Procedure (STQC/CC/P08) Issue : 03




CC Certification Body, STQC Directorate,
Indian Common Criteria Certification Scheme (IC3S),
MeitY, Government of India
INDIA

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0.1 Approval and Issue


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Reviewed by : Management Representative

Approved by : Head, CC Scheme

Note:

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

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1.0 Purpose & 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 IC3S. 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 IC3S;
 - Complaints/disputes raised against IC3S.

2.0 Responsibility

Management Representative	- Responsible for Registration and acknowledgement
	- Management of all activities leading to satisfactory disposal
	- Providing information to Head, CC Scheme & Management Committee on related actions
Head, CC Scheme	- Overall responsibility for satisfactory resolution on escalation


3.0 Associated Documents

STQC/CC/D02 - Quality Manual

4.0 Definitions

For the purpose of this document, the definitions contained in clause 1.3 of the document STQC/CC/D02 - “Quality Manual” shall apply.


5.0 Resources

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For the purposes of the activities defined in this document, the personnel resources are identified in Doc STQC/CC/D11.

6.0 Procedure

- 6.1 All complaints/disputes received by I3CS 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 I3CS, the MR Identifies a nominee and forwards copies of complaints/disputes for necessary investigation by fastest means.
 - b) for complaints/disputes against IC3S, the MR shall himself be the nominee for necessary investigation.
- 6.2 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
- 6.3 After the initial actions, the respective nominees investigate the complaints/disputes and
- make a judgment 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.
- 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 HEAD CC Scheme, 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 HEAD CC Scheme 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 I3CS on complaints against its clients
 - try to gain acceptance of the resolution
- 6.6 For complaints/disputes relating to I3CS, the nominee shall write a confirmation letter to the complainant along with a copy to the Head, CC Scheme for information. Further where necessary all corrective/preventive actions are initiated to prevent recurrence.
- 6.7 For complaints/disputes against clients of I3CS, 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 I3CS believed that the complaint is not justified, then the suggested sentence is “we are satisfied that the company has followed its procedure

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for customer complaints/corrective actions and the routines comply with the requirements of applicable standards”.

- b) If I3CS 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”.

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

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COMPLAIN REDRESSAL

- 1.0 Complaint Sl. No. :
- 2.0 Date of complaint received :
- 3.0 Client Name :
Client Ref:
- 4.0 Nature of complaint:
(Whether against certification scheme, client or IC3S)
- 5.0 Scheme Reference : IC3S
- 6.0 Date of acknowledgement sent to client
- 7.0 Complaint details
- 8.0 Name of scheme nominee
- 9.0 Action by the scheme nominee
- 10.0 Status of action taken - open/closed
- 11.0 Date of closure of complaint

Signature of Operational Personnel