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Purpose

To define a procedure to ensure that appeal, complaints and disputes with clients or any interested party are promptly dealt with.

Scope

Applicable to all services provided by CCIPL.

Responsibility

As noted in details.

1.0 Appeals, Complaints & Disputes :

It would be the endeavour of ControlCase to provide efficient and satisfactory services as detailed in the Request Form. However, in case it is felt that any decision or the conduct of ControlCase is unjust and prejudicial to any party that party can appeal to ControlCase and seek redressal. These appeals are to be sent to ControlCase in writing.

Appeals, complaints and disputes brought to the notice of ControlCase are promptly dealt with and remain confidential. Information about the client from sources other than the client are kept confidential. This procedure is applicable to decisions pertaining to certification including maintenance.

It is ensured that personnel are not employed to investigate any appeal, complaint or dispute if they have been directly involved in the activities towards the Organization or any other party involved in the appeal, complaint or dispute in question within the certification cycle.

It is ensured that submission, investigation and decision on appeals and complaints shall not result in any discriminatory actions against the appellant / complainant.

In situations where appeals or complaints cannot be resolved by Management Representative or the ISO-Group Head, the same shall be referred to COO further it shall be referred to Committee for Safeguarding Impartiality.

A summary of appeals / complaints received, actions taken/completed is forwarded to the Management Representative for presentation in the Management Review meeting. Actions as decided in the Management Review meeting are implemented for further effectiveness.

1.1 Appeals:

1.1.1 “Appeal” means "any request for review that is conveyed in writing, against a decision made by ControlCase taking into consideration the explanation provided by the client". This may be either during the course of audit at the client's premises or any work pertaining to ControlCase.

1.1.2 Appeals can be due to:

- a) Refusal of an audit by ControlCase;
- b) Non acceptance of scope of certification;
- c) Decisions made on misuse, suspension, withdrawal, cancellation, extending and reducing the certification;
- d) Failure to recommend certification by ControlCase;
- e) Notification by any third party/interested party against the grant of certification by ControlCase.

1.1.3 Any appeal from client or interested parties seeking redressal when received is recorded and acknowledged by ISO-Group Head. The appeal should contain all available documentary evidence. ISO-Group Head will be responsible for gathering and verifying all necessary information related to the complaints to validate the appeal. Any such appeals referred to management are examined in fairness and reviewed by ISO-Group Head and any other personnel as required either separately or jointly. The appellant may be asked to withdraw the appeal if found not relevant. Actions shall be initiated by ISO-Group Head for resolving the appeals within a stipulated period of 3 months.

1.1.4 Resolution of Appeal shall be handled in the following manner:

An attempt is made by the team leader to resolve the issue at the audit site. If the appeal is not resolved, the matter is taken up to ISO-Group Head. In case the ISO-Group Head is unable to resolve the appeal, the same shall be referred, with all information (including documentary evidence) to the COO. If appeal is not resolved, then the matter is taken up to Committee for Safeguarding Impartiality.

1.1.5 ISO-Group Head tracks and maintains a record of all appeals along with remedial actions pertaining to the certification system and keeps the appellant updated about the progress and outcome.

9.1.6 ISO-Group Head identifies problems requiring any actions to prevent recurrence of the above for corrective action (and preventive action if required) commensurate with the nature and risk involved. These include

measures such as:

- Restoring conformity to the certification system process
- Assessing the effectiveness of remedial/corrective actions taken.

1.1.7 A formal notice of conclusion of the appeal handling process shall be provided to the appellant.

1.2 Complaints:

1.2.1 Normally complaints (dissatisfaction expressed by a person or by the Organization) are made to ControlCase. Any complaint received by ControlCase, whether it pertains to ControlCase functions or the certified Organization, would be treated in all seriousness and investigated. These complaints are recorded by ISO-Group Head and the complainant would be informed of the receipt of complaint and advised on the investigation required within a reasonable time of 1 month. Actions are initiated by ISO-Group Head for resolving & restoring conformity to Management System and for closing the complaint within three months from the date of receipt of complaint unless delayed for a specific reason. The results and actions taken/completed are informed accordingly to the concerned parties. ISO-Group Head will be responsible for gathering and verifying all necessary information related to the complaints.

1.2.2 For complaints received against certified Organizations, ISO-Group Head may decide to:

a. Advise to visit / audit may be planned for ascertaining the actions taken and ensuring effectiveness of the certified management system.

b. Advise verification of actions taken during forth-coming surveillance audit.

c. The ControlCase shall require the certified client organization that, on receipt of a complaint, the certified client organization shall establish, and where appropriate report on, the cause of the complaint, including any predetermining factors within the client organization's ISMS.

The ControlCase shall ensure that the client organization is using such investigations to develop

remedial/corrective action, which shall include measures for

- i. notification to appropriate authorities if required by regulation;
- ii. restoring conformity;
- iii. preventing recurrence;
- iv. evaluating and mitigating any adverse security incidents and their associated impacts;

- v. ensuring satisfactory interaction with other components of the ISMS;
- vi. assessing the effectiveness of the remedial / corrective measures adopted.

The certification body shall require each client organization whose ISMS is certified to make available to the certification body, when requested, the records of all complaints and corrective action taken in accordance with the requirements of ISO/IEC 27001

- 1.2.3 Any such complaints referred to management are examined in fairness and reviewed by ISO-Group Head and any other personnel as required either separately or jointly. The complainant may be asked to withdraw the complaint if found not relevant. A complaint after the date on which it has been received, is to be dealt with, within three months.
- 1.2.4 Resolution of Complaint shall be handled in the following manner:
 - a) An attempt is made by the team leader to resolve the issue at the audit site. If the appeal is not resolved, the matter is taken up to ISO-Group Head, who analyses and initiates correction, corrective action / preventive action. In case the ISO-Group Head is unable to resolve the Complaint, the same shall be referred, with all information (including documentary evidence) to the COO. If appeal is not resolved, then the matter is taken up to Committee for Safeguarding Impartiality
- 1.2.5 ISO-Group Head tracks and maintains a record of all complaints along with remedial actions pertaining to the certification system and keeps the complainant updated about the progress and outcome.
- 1.2.6 ISO-Group Head identifies problems requiring any actions to prevent recurrence of the above for corrective action (and preventive action if required) commensurate with the nature and risk involved. These include measures such as:
 - a) notification to appropriate authorities as required by regulation
 - b) restoring conformity to certification system process
 - c) preventing recurrence;
 - d) evaluating and mitigating any adverse incidents (including hazards, safety & security) and their associated risks and impacts
 - e) ensuring satisfactory interaction with other components of the Management System
 - f) Assessing the effectiveness of remedial/corrective actions taken.

- 1.2.7 In case of complaints relevant to public interest, the certified organization and the complainant shall be consulted and if felt necessary information about the complaint and its resolution will be made available for public viewing.
- 1.2.8 A formal notice of conclusion of the complaints handling process shall be provided to the complainant.
- 1.2.9 ControlCase shall be responsible for all decisions at all levels of the appeals, complaints and disputes handling process.
- 1.2.10 Submission, investigation and decision on complaints shall not result in any discriminatory actions against the complainant.

1.3 Disputes:

- 1.3.1 Disputes here convey disagreement and are applicable to certification process decisions made during the course of audit including document adequacy.
- 1.3.2 The team leader is authorized to resolve the dispute and conclude the audit effectively.
- 1.3.3 The dispute if not resolved adequately by the team leader can be brought to the notice of ISO-Group Head as an appeal. The ISO-Group Head shall resolve the matter through the appeal handling process (as described in earlier sections)
- 1.3.4 Resolution of Complaint shall be handled in the following manner:
 - a) An attempt is made by the team leader to resolve the issue at the audit site. If the dispute is not resolved, the matter is taken up to ISO-Group Head, who analyses and initiates correction, corrective action / preventive action. In case the ISO-Group Head is unable to resolve the dispute, the same shall be referred, with all information (including documentary evidence) to the COO. If dispute is not resolved, then the matter is taken up to Committee for Safeguarding Impartiality.

1.4 Addressing All Appeals, Complaints and Dispute at CSI Level:

- 1.4.1 The Committee for Safeguarding Impartiality meetings are convened.
- 1.4.2 If any, a summary of appeals, complaints and disputes is reviewed, as part of routine agenda, in all CSI meetings for adequacy of actions taken and for any

suggested improvements

- 1.4.3 During the course resolution of any appeals, complaints and disputes if a decision is made to refer specially to CSI, this aspect will be specifically reviewed .If required a special session is convened.
- 1.4.4 At least two members of the CSI (Appeals committee), two members from CCIPL and client representative if any, will have to be present when the appeal, complaint or dispute is taken up and none of them would have any interest in the party making the appeal, complaint or dispute. In case an appelland submits to ControlCase motivated objections in writing against a certain member, this member during the duration of appeal, shall withdraw in favour of a substitute, if the objections are judged to be well founded.
- 1.4.5 The decision of the Impartiality committee shall be final and binding on both parties. The same shall be communicated to the concerned parties and decision implemented.

Reference Documents

Complaint Log Register
