



# **COMPLAINTS AND RESOLUTION MEASURES FOR CREST MEMBER COMPANIES**

November 2018

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## COMPLAINTS AND RESOLUTIONS MEASURES

### Introduction

The professional and efficient handling of complaints is a critical factor for all organisations in any industry.

The procedure should be based on the principles of natural justice which means that:

- The process is fair, timely and confidential
- The outcomes are justified according to the facts.

An effective complaints handling procedure will:

- Use language that is easy to understand
- Describe the types of issues and complaints to which the procedure applies
- Outline the options available to resolve complaints
- Explain how formal complaints will be handled and give examples of possible outcomes
- Include assurance around confidentiality and record keeping
- Provide an option to review a decision or recommendation
- State that there will be no victimisation or disadvantage conferred on the complainant
- Be reviewed regularly for effectiveness.

As part of the membership application process, CREST requires all Accredited Member Companies to provide a copy of their client complaint handling process and, on approval, they are also required to update their process for CREST-related assignments to reflect the requirements of the CREST Complaints and Resolutions Measures. CREST Accredited Member Companies also attest to providing CREST with the information we require to conduct an investigation on behalf of a client. CREST also requires that an Accredited Member Company's complaint handling process is provided to each client. They also provide CREST with points of contact for us in the event of a complaint being made against them.

The following CREST Complaints and Resolutions Measures outline the Principles that CREST will follow and the Measures that we will take to investigate a complaint and reach a conclusion that is both fair and accepted by both Parties.



## COMPLAINTS AND RESOLUTIONS MEASURES

### Definitions

“CREST” means CREST International and any or all of its Chapters.

A “CREST Member Company” or “Member” means a company who has passed the relevant CREST requirements, agreed to the CREST Code of Conduct and has paid any fees associated with membership.

A “CREST member of staff” means personnel employed directly by the CREST Member Company and any person engaged as a sub-contractor.

A “Client” means an organisation employing a CREST Member Company utilising CREST Qualified Individuals who have referenced CREST in tender or contractual documentation.

“Member Company Application Form” means the latest completed CREST Member Application Form and associated reference material reviewed and agreed by CREST. Any reports to the Member Company of minor compliance issues will also be considered as being part of the application.

### The Principles

Complaints will be investigated competently, diligently and impartially and assessed fairly, consistently and promptly at both the initial and final stages.

CREST undertake that decisions communicated to the complainant (The Client) will not be made by, reviewed by or approved by personnel previously involved in the subject of the complaint.

CREST undertake that no information revealed during an investigation will be made available to the CREST Executive or the Directors of CREST. Additionally, the detail of any recommendations will not be made available to the Executive or the Directors of CREST. The CREST Executive will be advised of the recommendation only for suspension or removal from membership.

CREST aim to resolve complaints at the earliest opportunity and ensure complainants are kept informed of the progress of their complaint. It is expected that almost all complaints should have been substantively addressed within eight weeks.

Complainants should attempt to resolve their issues directly with the CREST Member Company and should use the CREST Complaints and Resolution Measures as a last resort.

Neither the Member Company nor the complainant will be victimised or disadvantaged during the process and thereafter. All Parties will treat each other with respect throughout the investigation.



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### The Measures

Potential complaints should be sent via email to [admin@crest-approved.org](mailto:admin@crest-approved.org) and describe the general nature of the complaint.

On receipt of a potential complaint from a Client, CREST will register the relevant details. The following procedure will then apply:

1. CREST will issue the Client with details of the complaint handling process. If appropriate or necessary, CREST will issue or sign a mutually agreed non-disclosure agreement with the Client of the Member Company in question.
2. CREST will request that the Client provides a formal complaint in an agreed format.
3. CREST will issue a complaint notification to the CREST Member Company.
4. CREST will review the complaint against the Code of Conduct for CREST Member Companies and the CREST Member Company Application Form.
5. CREST reserves the right to require access to the appropriate personnel from the Member Company and access to the requisite evidence to support the investigation. Such access may take the form of a pre-arranged visit or remote interviews with personnel which would be supported by access to requisite documentation to be provided either in hard copy or by electronic means.
6. For Member companies accredited for SOC, CREST reserves the right to conduct an on-site audit.
7. CREST will then issue an initial viewpoint report to the Member Company.
8. On receipt of the CREST initial viewpoint report, the CREST Member Company will deliver a response to the report together with evidence of its procedures and policies.
9. The CREST President will review the evidence and will, where appropriate, agree a set of actions and dates for the actions to be completed by and a review process to ensure the actions have been completed.
10. Only where the recommendation is
  - that a Member Company be removed from CREST,
  - that an individual's CREST qualification is revoked, or
  - CREST becomes directly involved in legal action

may CREST provide details to the CREST Executive. In these circumstances, an additional and mutually agreed NDA specific to the complaint will be required to be signed by all members of the CREST Executive.



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11. Where necessary, CREST will employ the services of independently selected industry experts to review the recommendations. Industry experts will be selected based on their relevance, qualifications and impartiality and will be agreed by all parties (CREST, the CREST Member Company involved and the complainant) in advance of their appointment. Where deemed necessary, a separate and mutually agreed NDA will be signed by all parties involved.
12. CREST will issue a recommendation report to the CREST Member Company in question. Where appropriate, CREST may also issue a recommendation report, or extracts from it, to the CREST qualified individuals named in the complaint.
13. CREST will issue a summary report to the Client of the CREST Member Company in question.
14. CREST reserves the right to advise appropriate third parties as necessary if a decision is taken to suspend or remove a Member Company from membership. This action will only be taken following discussions with the CREST Member Company. Third Party representatives may be requested to sign a specific NDA relating to the decision if necessary.
15. The recommendations will be enacted and appropriate steps taken to ensure the recommendations are fully complied with.
16. CREST will give formal notice to the Client of the CREST Member Company when the complaint and resolution handling measures are concluded.



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