

亞瑞仕國際驗證有限公司


ARES INTERNATIONAL CERTIFICATION CO., LTD.

申訴和抱怨處理程序

Appeals and complaints procedure

文件編號 (File No.) : ARES-QP-04

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制修 Formulate or modify			制修內容摘要 Revision Summary	制定 Formulated	審查 Checked	核准 Approved
制訂日期 Date	版 Vers ion	次 No.				
2018/6/15	F	2	修改亞瑞仕公司名；增加文件表單編碼索引 ARES company name modification; increase file form coding index	周小平		
2017/11/13	F	1	4.2.3 處理申訴的時限修改為 30 天內 4.3.3 受理抱怨時限修改為 30 天內 4.2.3 The time limit for handling grievances is revised to 30 days 4.3.3 Acceptance of complaint time limit is revised to 30 days			
2017/4/24	F	0	文件修改為中英文版本，以符合 TAF、UKAS、IECQ 等認證之相關要求 The documents are revised to Chinese and English versions			

		to comply with the relevant requirements of TAF, UKAS, IECQ and other certifications			
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1. 目的 purpose

本程序規定了對本機構提供的驗證服務不滿意的客戶申訴、抱怨的管理方法和要求。This procedure is developed to ensure that ARES management system can continually, suitably and effectively meet policy and objective and specified requirements.

2. 範圍 scope

本程序適用於所有個人或組織對與本機構的申訴、抱怨處理。This procedure is applicable to handling of appeals/complaints related to ARES

3. 控制依據 criteria

《管理系統驗證機構認證規範》(ISO/IEC 17021-1:2015) **TAF-MS-C06**、IECQ rules

Requirements for bodies providing audit and certification of management systems

4. 職責和作業程序 responsibility and operating procedure

4.1 處理原則 disposition principle

亞瑞仕以嚴謹、公正、非歧視的方式受理、調查和處理來自相關方的申訴、抱怨，並對處理過程中的所有決定負責，同時確保參與調查、處理的人員，未參與申訴、抱怨的相關活動。ARES accepts、investigate and dispose appeals、complaints of interested party with preciseness, impartiality and non-discriminatory manner, and is responsible for all the decisions of the process, and ensure the participation of the investigation and handling staff, and participate in the activities related to complaints, complaints.

4.1.1 接到抱怨、申訴的本機構任何部門或員工應坦誠地與抱怨人交談，將問題記錄在 **ARES-FM-29 《申訴和抱怨資訊處理表》** 並提交給管理部。管理部應將本文件規定放置於公司網路上，讓有需求之人員或組織可公開獲取。Any department or employee that receives a appeals, complaints or disputes shall be honestly talk with the complainant, and shall record the issue in the **ARES-FM-29 《Appeals and complaints handing form》**, and submit it to the management department. The management department shall upload the document in the company's public network,

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to make it available to the related person or organization.

4.1.2 本機構對申訴處理過程所有階段之所有決定負責。為體現公正性，申訴和抱怨涉及的相關人員和原驗證決定人員應該在處理階段予以回避。The company is responsible for all decisions of all the complaint handling process. In order to reflect the fairness, the relevant personnel and the original certification decision personnel should be avoided in the processing stage of appeals and complaints

4.1.3 申訴的定義為：definition for appeals

指申請方、受稽核方或獲證組織針對其期望的驗證狀態有關的不利決定所提出的書面請求。The applicant、auditee or certified client propose the written request about the certification decision which is disadvantage to their expectation

4.1.4 抱怨的定義為：definition for complaints

對亞瑞仕及其工作人員和獲證客戶與驗證有關的行為表明不滿的書面表示。
certified clients' written unsatisfaction to the behavior of ARES and its staffs

4.2 申訴的處理 disposition for appeals

4.2.1 由申請方、受稽核方或獲證組織提出申訴，填寫 **ARES-FM-29《申訴和抱怨資訊處理表》** 將傳遞到稽核部處理，在受理、確認與調查申訴過程中應考慮先前類似申訴的結果，然後由管理部決定實行何種措施予以回應。當通知給申訴者之申訴決定時，應由先前未參與申訴主題之人員予以處理，或審查與核准。The applicant、auditee or certified client propose the appeals by filling in **ARES-FM-29《Appeals and complaints handing form》** which will be transmitted to audit department，audit department will should be consider previous similar complaints during the acceptance, confirmation and investigation of appeals, and then the management department take measures to respond. When the appeals decision is noticed to the appeals person, it shall be handled by the person who has not previously participated in the subject of the appeals in advance.

4.2.2 管理部應告知申訴者申訴處理之進度報告與結果。申訴結果以書面通知方式告知申訴人。如果申訴人對申訴處理結果有異議(認為驗證機構未遵守驗證相關法律法規或本規則並導致自身合法權益受到嚴重侵害的)，可以直接向其認證機構或所在地驗證監管部門或國家認監委(大陸地區適用)提出。Management department should inform the appeals person the handling results in a written notice. If the appeals person has any objection to the handling results (eg : if he think certification body did not comply with the relevant certification rules、laws and

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regulations , and caused serious violations to the legitimate rights and interests of their own) , he can directly turn to the local certification regulatory authorities or CNCA(suitable for China area) for appeals).

4.2.3 處理申訴的時限為接到申訴者正式的書面資料期 30 天內，包括書面答覆申訴人。

The time limit for processing an appeal is within 30 days after the complainant's official written information is received, including a written reply to the complainant.

4.2.4 在處理過程中應追蹤與記錄申訴，包括解決申訴所實行之措施並確保實行任何適當的改正及矯正措施。

the appeals is tracked and recorded in the dealing process, including the measures to resolve the appeals and to ensure the implementation of any appropriate corrective and corrective actions

4.2.5 申訴之提出、調查及決定，不應對申訴者造成任何差別待遇。The proposal, investigation and decision of the appeal shall not cause any differential treatment to the appeals person

4.3 抱怨的處理 disposition for complaints

4.3.1 任何組織或個人對亞瑞仕及其工作人員和獲證客戶與驗證有關的行為表明不滿提出的抱怨，填寫 **ARES-FM-29《申訴和抱怨資訊處理表》**。由管理部確認抱怨是否與驗證活動有關，經確認有關時予以轉交稽核部處理。如果抱怨與獲證客戶有關，在調查時應考慮其管理系統的有效性，必要時暫停其驗證資格，並在適當時間內對已驗證客戶予以詢問。稽核部收到處理表後應負責搜集及查證所有必要的資訊，以確認抱怨。並由管理部通知抱怨者受理抱怨，並應提供抱怨者抱怨處理之進度報告與結果。

Any organization or individual propose his complaints due to unsatisfaction to ARES and its certified clients about certification related behavior , by filling in **ARES-FM-29 《 Appeals and complaints handing form 》** . The management department confirm the whether the complaints is related certification activities, if yes , the complaint will be referred to the audit department. If the complaint is related to certified clients, the effectiveness of the management system should be taken into

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account in the investigation, if necessary, suspend its certification qualification, and inquire certified customer in the appropriate time. The audit department shall be responsible for the collection and verification of all necessary information to confirm the complaint after the receipt of the processing form. The management department will inform the complainant the progress report and the result of the complaint handling process

4.3.2 如果申訴人對抱怨處理結果有異議(認為驗證機構未遵守驗證相關法律法規或本規則並導致自身合法權益受到嚴重侵害的，可以直接向其認證機構或所在地驗證監管部門或國家認監委(大陸地區適用)提出)。對於 IECQ HSPM，參考 **ARES-QP-18** 《IECQ 有害物質過程管理系統 (HSPM) 項目文件》 相關規定。If the complainant disagrees with the results of the complaints handling(he thinks the certification body did not comply with relevant laws and regulations and this caused serious violations of the legitimate rights and interests of their own, he can directly turn to the local certification regulatory authorities or CNCA(suitable for China area) to complaints), for IECQ HSPM scheme, please refer to **ARES-QP-18** IECQ HSPM Scheme Document

4.3.3 受理抱怨時限為接到抱怨者正式的書面抱怨資料期 30 天內，包括書面答覆申訴人。管理部應將抱怨處理過程之結果，正式通知抱怨者。並應與客戶及抱怨者共同決定，是否將抱怨主題及其決議予以公開，以及公開之程度。The time limit for handling complaints is within 30 days from the receipt date of the formal written complaint by the complainant, including a written reply to the complainant. The management department shall formally notify the complainant the result of the complaint handling process. And discuss with the client and the complainant whether make public the complaint subject and its resolutions, as well as the extent of the public

4.3.4 獲證客戶應按照本機構的要求，隨時提供對相應抱怨所採取措施的記錄。The certified clients shall provide the records of the corrective actions taken at any time in accordance with the requirements of certification body

4.4 分析和評估 analysis and evaluation

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4.4.1 總部和各分場所將每年 12 月份整理該年度的所產生處理的所有申訴、抱怨的處理表，製作成 **ARES-FM-30** 《申訴、抱怨全年情況統計表》。提交管理部。In every December, the headquarters and the offices collect all the appeals, complaints occurred in this year, formulated **ARES-FM-30** 《Appeals、complaints annual statistics form》, and submit to the management department

4.4.2 管理部經理應在每年管理審查會議中提交統計表彙報。以評估本機構對申訴、抱怨處理的有效性。The management department manager shall submit the statistical report to the annual management review meeting. To evaluate the effectiveness of the handling of appeals, complaints

4.4.3 所有的申訴、抱怨不因對方為個人或組織而造成任何差別待遇，如不接受抱怨方抱怨的提出、以及調查決定結果未依證據而偏袒其中一方等。

All the Appeals and complaints are regarded and disposed in impartial way, any differential treatment is not allowed.

5.引用文件 Reference

5.1 **ARES-QP-19** 《STATEMENT OF SURVEILLANCE ARRANGEMENTS》

5.2 **ARES-QP-18** 《IECQ 有害物質過程管理系統（HSPM）項目文件》 **IECQ HSPM Scheme Document**

6.使用表單 forms

6.1 **ARES-FM-29** 《申訴和抱怨資訊處理表》 Appeals and complaints handing form

6.2 **ARES-FM-30** 《申訴、抱怨全年情況統計表》 Appeals、complaints annual statistics form