

	亞瑞仕國際驗證股份有限公司 ARES INTERNATIONAL CERTIFICATION CO., LTD	編號 No. : ARES-QP-04
	申訴和抱怨處理程序 Appeals and Complaints Procedure	頁碼 Page : 1

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1. 目的 Purpose

本程序規定了對亞瑞仕提供之驗證服務不滿意的客戶申訴與抱怨之管理方法和要求。This procedure specifies the management methods and requirements for handling appeals and complaints from clients dissatisfied with the certification services provided by the organization.

2. 範圍 Scope

本程序適用於所有個人或組織對亞瑞仕的申訴與抱怨之處理。This procedure applies to the handling of appeals and complaints from all individuals or organizations against the ARES.

3. 控制依據 Criteria of Control

- 3.1 TAF-MS-C06 管理系統驗證機構認證規範 (ISO/IEC 17021-1:2015)。TAF-MS-C06 《Requirements for bodies providing audit and certification of management systems Part 1: Requirements》(ISO/IEC 17021-1:2015)。
- 3.2 IECQ 02 程序規則—IECQ 驗證機構納入 IECQ 系統之接受一般要求《IECQ 02 Rules of Procedure – General requirements for the acceptance of IECQ Certification Bodies into the IECQ System》。
- 3.3 TAF-PC-C01 產品驗證機構認證規範 (ISO/IEC 17065:2012)。TAF-PC-C01 《Requirements for bodies certifying products, processes and services》(ISO/IEC 17065:2012)。(ISO/IEC 17065:2012)。本條適用於亞瑞仕已取得產品驗證認可範圍內之申訴與抱怨案件；未取得認可之範圍不適用。This clause applies to appeals and complaints falling within the scope of ARES's product certification accreditation; it does not apply to scopes for which accreditation has not been granted.

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、公正且非歧視的方式受理、調查及處理來自相關方的申訴與抱怨，並對處理過程中的所有決定承擔責任。同時，確保參與調查與處理的人員未曾參與相關的申訴或抱怨活動。ARES handles, investigates, and resolves appeals and complaints from relevant parties in a rigorous, fair, and non-discriminatory manner, and assumes responsibility for all decisions made during the handling process. At the same time, it ensures that personnel involved in the investigation and resolution have not participated in the related appeals or complaints.

- 4.1.1 亞瑞仕任何部門或員工在接獲抱怨或申訴時，應坦誠與抱怨人進行溝通，將問題詳細記錄於《ARES-FM-29 申訴與抱怨資訊處理表》，並提交至技術處。申訴人或抱怨人得自行填寫《ARES-FM-29-1 客戶申訴和抱怨資訊處理單》提出；亞瑞仕受理後，應以《ARES-FM-29 申訴和抱怨資訊處理表》辦理內部登錄及後續處理。技術處應將本程序公開於公司網站，供有需要之人員或組織公開查閱。Any department or employee of ARES receiving an appeal or complaint shall communicate openly with the complainant, record the issue in detail on the 《ARES-FM-29 Appeals and Complaints Handling Form》，and submit it to the Technical Division. An appellant or complainant may submit the matter using the 《ARES-FM-29-1 Customer Appeal and Complaint Handling Form》；upon receipt, ARES shall record and

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process the case internally using the 《ARES-FM-29 Appeals and Complaints Handling Form》. The Technical Division shall make this procedure publicly available on the company website, accessible to any person or organization requiring it.

- 4.1.2 亞瑞仕對申訴處理過程中各階段的所有決定承擔責任。為確保公正性，涉及申訴或抱怨的相關人員以及原驗證決定人員應在處理過程中予以回避。ARES assumes responsibility for all decisions made at each stage of the complaint handling process. To ensure impartiality, personnel involved in the appeal or complaint, as well as those who made the original certification decisions, shall recuse themselves during the handling process.

4.2 定義 Definition

4.2.1 申訴的定義 Definition for Appeal

指申請方、受稽核方或獲證組織針對其期望之驗證狀態相關的不利決定，所提出的書面請求。Refers to a written request submitted by the applicant, auditee, or certified organization regarding an adverse decision related to their expected certification status.

4.2.2 抱怨的定義 Definition for Complaint

指針對亞瑞仕及其工作人員，或獲證客戶對驗證相關活動中的行為表示不滿的書面表達。Refers to a written expression of dissatisfaction regarding the behavior of ARES and its personnel, or of certified clients, in certification-related activities.

4.3 申訴處理 Disposition for Appeal

- 4.3.1 申訴由申請方、受稽核方或獲證組織提出，並填寫《ARES-FM-29-1 客戶申訴和抱怨資訊處理單》，由市場營運處進行處理。在受理、確認與調查申訴過程中，應參考先前類似申訴的處理結果。最終由技術處決定採取何種措施予以回應。通知申訴者申訴決定時，應由先前未參與該申訴主題的相關人員進行處理、審查或核准。Appeals are submitted by the applicant, auditee, or certified organization, and recorded using the 《ARES-FM-29-1 Customer Appeal and Complaint Handling Form》, which is handled by the Market Operations Division. During the receipt, certification, and investigation of the appeal, the outcomes of previous similar appeals should be taken into consideration. The Technical Division will make the final decision on the appropriate measures to respond. When notifying the appellant of the appeal decision, the process, review, or approval should be carried out by personnel who were not previously involved in the subject of the appeal.

- 4.3.2 技術處應告知申訴者申訴處理的進度及結果。申訴結果應以書面形式通知申訴人。如申訴人對申訴處理結果有異議(認為驗證機構未遵守相關驗證相關法律法規或本規則，導致自身合法權益受到重大侵害者)，可直接向其認證機構或所在地的驗證監管部門提出。The Technical Division shall inform the appellant of the progress and outcome of the appeal handling. The appeal decision shall be communicated to the appellant in writing. If the appellant has objections to the appeal decision (for example, believing that the certification body has not complied with relevant certification laws, regulations, or this procedure, resulting in significant infringement of their legitimate rights), they may submit their appeal directly to the certification body or the relevant certification regulatory authority in their jurisdiction.

- 4.3.3 申訴處理的時限為自收到申訴人正式書面資料起 30 天內，並包含向申訴人提供書面答覆。The time limit for handling an appeal is within 30 days from the receipt of the appellant's

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formal written submission, including providing a written response to the appellant.

- 4.3.4 在處理過程中，應追蹤並記錄申訴，包括為解決申訴所採取的措施，並確保實施任何適當的改正與矯正措施。During the handling process, appeals shall be tracked and recorded, including the measures taken to resolve them, and any appropriate corrective and preventive actions shall be ensured.
- 4.3.5 申訴的提出、調查及決定，不應對申訴人造成任何差別待遇。The submission, investigation, and decision of an appeal shall not result in any form of discrimination against the appellant.
- 4.4 抱怨處理 Disposition for Complaint
- 4.4.1 任何組織或個人對亞瑞仕及其工作人員，或獲證客戶對驗證相關活動中的行為表示不滿時，應填寫《ARES-FM-29-1 客戶申訴和抱怨資訊處理單》。技術處負責確認抱怨是否與驗證活動相關，經確認後，將相關抱怨轉交驗證部或數資部處理。若抱怨涉及獲證客戶，在調查過程中應考慮其管理系統的有效性，必要時暫停其驗證資格，並於適當時機向已驗證客戶進行詢問或了解。驗證部或數資部收到處理表後，應負責搜集並查證所有必要資訊，以確認抱怨內容。技術處應通知抱怨者其抱怨已受理，並提供抱怨處理的進度報告與最終結果。When any organization or individual expresses dissatisfaction with ARES, its personnel, or certified clients regarding activities related to certification, the 《ARES-FM-29-1 Customer Appeal and Complaint Handling Form》 should be completed. The Technical Division is responsible for verifying whether the complaint is related to certification activities. Once confirmed, the relevant complaint shall be forwarded to the Audit Department or Digital Data Department for handling. If the complaint involves a certified client, the effectiveness of its management system shall be taken into consideration during the investigation. Where necessary, its certification may be suspended, and inquiries or clarifications shall be made with the certified client at an appropriate time. Upon receiving the handling form, the Audit Department or Digital Data Department is responsible for collecting and verifying all necessary information to substantiate the complaint. The Technical Division shall inform the complainant that the complaint has been accepted and provide updates on the progress and the final outcome of the complaint handling process.
- 4.4.2 如抱怨人對抱怨處理結果有異議(例如認為驗證機構未遵守相關驗證法律法規或本規則，導致其合法權益受到嚴重侵害)，可直接向其認證機構或所在地的驗證監管部門提出。對於 IECQ HSPM，如申請組織對亞瑞仕之申訴處理結果不滿，且認為該決定違反 IECQ 相關規則，得於收到申訴處理決定後一個月內，以書面形式向 IECQ 秘書處或 IECQ MC 及 IEC CAB 提出申訴，並說明申訴理由。亞瑞仕應透過其網站向申請組織告知此申訴與抱怨之管道。If the complainant has any objection to the complaint handling result (e.g., believes that the certification body has failed to comply with the relevant certification laws, regulations, or this procedure, thereby causing serious infringement of their legitimate rights and interests), they may directly submit the matter to the accreditation body or the local certification regulatory authority. For IECQ HSPM, the relevant provisions of 《ARES-QP-18 IECQ HSPM Scheme Document》 shall apply. If an applicant organization is not satisfied with the outcome of the appeal handled by ARES, and considers that the decision is contrary to the IECQ Rules, the organization may submit an appeal in writing to the IECQ Secretariat or the IECQ MC and IEC CAB within one month after being informed of the decision, stating the reasons for the appeal. ARES shall inform the organization of this appeals and complaints channel through

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its website.

- 4.4.3 受理抱怨的時限為自收到抱怨者正式書面資料之日起 30 個工作天內，並須包含向抱怨者提供書面答覆。技術處應將抱怨處理結果正式通知抱怨者，並應與客戶及抱怨者共同協商，決定是否公開抱怨主題及其處理決議，以及公開的範圍與程度。The time limit for handling complaints shall be within 30 working days from the date of receipt of the complainant's formal written materials and shall include providing a written response to the complainant. The Technical Division shall formally notify the complainant of the complaint handling results and, in consultation with the client and the complainant, decide whether to disclose the subject and resolution of the complaint as well as the scope and extent of such disclosure.
- 4.4.4 獲證客戶應依本機構要求，隨時提供針對相關抱怨所採取措施的完整記錄。Certified clients shall, upon the organization's request, provide complete records of the actions taken in response to the relevant complaints at any time.
- 4.5 分析和評估 Analysis and Evaluation
- 4.5.1 總部及各分場所應於每年 12 月，彙整本年度所有申訴與抱怨的處理表，並製作《ARES-FM-30 申訴和抱怨處理全年情況統計表》，提交技術處。The headquarters and each branch shall, in December of each year, compile all appeal and complaint handling forms generated during the year and prepare the 《ARES-FM-30 Appeals and Complaints Annual Statistics》 for submission to the Technical Division.
- 4.5.2 技術處處長應於每年度管理審查會議中提交統計表報告，以評估亞瑞仕申訴與抱怨處理的有效性。The Director of the Technical Division shall present the statistical report at the annual management review meeting to evaluate the effectiveness of ARES's appeal and complaint handling.
- 4.5.3 所有申訴與抱怨均不得因抱怨方為個人或組織而受到任何差別待遇，包括不應拒絕受理抱怨，或在調查及決定過程中未依據證據而偏袒任何一方。All appeals and complaints shall be handled without any discrimination based on whether the complainant is an individual or an organization, including not refusing to accept the complaint and ensuring that the investigation and decision-making process is based on evidence rather than favoring any party.

5. 引用文件 Reference Documents

- 5.1 ARES-QP-19 STATEMENT OF SURVEILLANCE ARRANGEMENTS of the Certification Body ARES》.
- 5.2 ARES-QP-18 IECQ 有害物質過程管理系統(HSPM)項目文件》。《ARES-QP-18 IECQ HSPM Scheme Document》.
- 5.3 IECQ 02 IECQ 驗證機構接受之一般要求第 5 條抱怨。IECQ 02 Rules of Procedure – General requirements for the acceptance of IECQ Certification Bodies, Clause 5 Complaints.
- 5.4 IECQ 03-1 所有 IECQ 方案之一般要求第 9.17 條申訴。IECQ 03-1 Rules of Procedure Part 1: General Requirements for all IECQ Schemes, Clause 9.17 Appeals.
- 5.5 IEC CA 01 IEC 符合性評鑑系統基本規則及 IECQ 01-S IECQ 系統補充規則。IEC CA 01 Basic Rules and IECQ 01-S IECQ Supplement.
- 5.6 TAF-MS-C06 管理系統驗證機構認證規範 (ISO/IEC 17021-1:2015) 第 9.8 條申訴、第 9.9

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條抱怨。TAF-MS-C06, Clauses 9.8 Appeals and 9.9 Complaints.

6. 使用表單 Forms Used

- 6.1 ARES-FM-29 申訴和抱怨資訊處理表。《ARES-FM-29 Appeals and Complaints Handling Form》。(供亞瑞仕內部受理登錄使用 For internal receipt and registration by ARES)
- 6.2 ARES-FM-29-1 客戶申訴和抱怨資訊處理單。《ARES-FM-29-1 Customer Appeal and Complaint Handling Form》。(供申訴人或抱怨人填寫使用 To be completed by the appellant or complainant)
- 6.3 ARES-FM-30 申訴和抱怨處理全年情況統計表。《ARES-FM-30 Appeals and Complaints Annual Statistics》。(供年度彙整統計使用 For annual compilation and statistics)