

QSP30-Appeals, Complaints and Disputes Management

上诉、投诉和争议管理

1.0 Purpose

- 1.1.** The purpose of this document is to describe the process of appeal and the process to escalate the complaint to accreditation bodies(AB).本文件的目的是描述上诉过程和将投诉升级到认证机构 (AB) 的过程。
- 1.2.** The purpose of this document is to providing all clients with best practice complaints handling mechanisms for building trust in brand, effectively responding, and services improvement and business management practices.本文件的目的是为所有客户提供最佳实践投诉处理机制，以建立品牌信任、有效响应、服务改进和业务管理实践。
- 1.3.** The purpose of this document is to describe the process address dispute submitted by clients against any non-conformities (NC) raised by ASCP.本文档的目的是描述客户针对 ASCP 提出的任何不符合项 (NC) 提交的争议处理流程。

2.0 Scope

2.1. Compliant

- 2.1.1.** This procedure applies to all ASCP staff and contractors and to all client complaints and the way they are handled.本程序适用于所有 ASCP 员工和承包商以及所有客户投诉及其处理方式。
- 2.1.2.** This procedure does not apply to:本程序不适用于：
- Complaints about the conduct or performance of leadership;对领导行为或表现的投诉；
 - Complaints about corruption;腐败投诉；
 - Public interest disclosures;公共利益披露；
 - Complaints covered by a separate review or appeal processes.单独审查或上诉程序涵盖的投诉。

2.2. Appeal and Dispute

This procedure covers all appeals and disputes raised to ASCP by any means e.g. written, verbal, email etc.此程序涵盖以任何方式向 ASCP 提出的所有上诉和争议，例如书面、口头、电子邮件等。

3.0 Referenced Documents & Documented Information

ISO/IEC 17021-1:2015	Conformity assessment–Requirements for bodies providing audit and certification of management systems - Part 1 Requirements.
ISO/IEC 17021-3:2013	Conformity assessment–Requirements for bodies providing audit and certification of management systems–Part 3: Competence requirements for auditing and certification of quality management systems.
ISO/IEC 17065:2012	Conformity assessment–Requirements for bodies certifying products, processes and services.
ISO 19011:2018	Guidelines for auditing management systems
National Law	Law on Protection of the Rights and Interests of Consumers
National Law	Tort Liability Act of P.R.C
QM-I65: 12	Quality Manual

PY09	Privacy Policy
QSP01	Documented Information Management Procedure
QSP25	Certification Information Management Procedure
QSP31	Managing Unreasonable Complaint Conduct
FR-CS 02	Complaints and Appeals Register
FR-CS 03	Complaint & Appeal Report
FR-CS 04	Complaint & Appeal Annual Report

4.0 Terms and Definitions 术语和定义

4.1. Appeal 上诉

A formal request for reconsideration of adverse decisions made by ASCP and contractors (e.g. application denied, audit suspended, request for corrective action, change of certification scope, rejection of certification registration, suspending or withdrawal of certificates, any other decision leading to failures of certification registration, or decisions regarding to complaints) .正式要求复议 ASCP 和承包商做出的不利决定（例如，申请被拒绝、审核暂停、要求采取纠正措施、认证范围变更、认证注册被拒绝、证书暂停或撤回、任何其他导致认证失败的决策）注册，或有关投诉的决定）。

4.2. Complaint 投诉

Raised by any organisation or individual, a formal expression of dissatisfaction to ASCP with the activities of ASCP(including contractors) or the certified organisation. Complaint is different from appeal and followed by replies.由任何组织或个人提出，正式表达对 ASCP（包括承包商）或被认证组织的活动的不满。投诉不同于上诉，然后是答复。

4.3. Dispute Proposer 争议提议人

- Certification clients are questioning or arguing about adverse activities, services or decisions made by ASCP and contractors. 认证客户对 ASCP 和承包商做出的不利活动、服务或决定提出质疑或争论。
- Individual or parties who are unsatisfied with the outcomes of the complaints resolutions or final responses.对投诉解决或最终答复的结果不满意的个人或各方。

4.4. Client: certification applicant, auditee and certified organisation.认证申请人、受审核方和获证组织。

4.5. Consumer: Primarily, a person or organisation who is receiving/has received products/ service from the client being audited in the last 12 months. Also known as “client”, “customer”, “products/services user”, “person using/accessing products/services” etc. 主要是在过去 12 个月内从接受审核的客户处接收/已经接收产品/服务的个人或组织。也称为“客户”、“客户”、“产品/服务用户”、“使用/访问产品/服务的人”等。

4.6. Appellant: individual or organisation filing an appeal.提出上诉的个人或组织。

4.7. Complainant: individual or organisation filing a complaint.个人或组织提出投诉。

4.8. Disputant: individual or organisation filing a dispute.提出争议的个人或组织。

4.9. Appeals/Complaints Panel(A/CP): independent committee appointed by the EM to resolve an appeal against a ASCP decision. 由 EM 任命的独立委员会来解决对 ASCP 决定的上诉。

4.10. Decision: The result of a review/investigation of the complaint or appeal.投诉或上诉的审查/调查结果。

5.0 Roles and Responsibilities

- 5.1.** Executive Manager(EM) is responsible for appeals/disputes review, analysis and submission to top management or committees and appointing members of A/CP.Executive Manager (EM) 负责上诉/争议的审查、分析和提交给最高管理层或委员会，并任命 A/CP 成员。
- 5.2.** The Quality Management Executive(QME) is responsible for 质量管理执行官 (QME) 负责
- a) complaints reviewing, analysis, decision and submission to EM;投诉审查、分析、决定并提交给 EM;
 - b) receiving appeals and disputes from clients and other parties; 收到客户和其他方的申诉和争议;
 - c) in consultation with office staff and auditors is responsible for handling, validating and the analysis of appeals/ disputes to the satisfaction of the clients /other parties;与办公室工作人员和审计员协商，负责处理、验证和分析上诉/争议，使客户/其他方满意;
 - d) completion and submission of all appeals/ disputes records and outcomes into the continuous improvement register and records management system.完成所有申诉/争议记录和结果并将其提交到持续改进登记和记录管理系统中。
- 5.3.** Appeals/Complaints Panel is responsible for evaluating and making recommendations on appeals and complaints.上诉/投诉小组负责评估上诉和投诉并提出建议。
- 5.4.** Credibility Assurance Unit is responsible for supporting QME regarding to investigation of appeals.信誉保证部负责支持 QME 对申诉进行调查。
- 5.5.** Customer Service Unit is responsible for receiving complaints and submission to QME.客户服务部负责接收投诉并提交给 QME。
- 5.6.** All units are responsible for cooperation with QME.各单位负责与 QME 的合作。

6.0 Appeal Procedure

6.1. Appealable Certification Decisions 可上诉的认证决定

Reductions in scope, suspending, withdrawal and cancellation of certification based on: 范围缩小、暂停、撤销和取消认证基于:

- Audit evidence and assessment findings; 审计证据和评估结果;
- Any collusive or coercive practices or offer or request for inducements by staff or contractors in relation to audit or certification services; 工作人员或承包商在审计或认证服务方面的任何串通或胁迫行为或提议或要求诱导;
- Engaging in any conduct that compromises the ability of ASCP to provide independent assessment; 从事任何损害 ASCP 提供独立评估能力的行为;
- Failing to provide access and cooperation for the purpose of gathering evidence and assessment; 未能为收集证据和评估的目的提供访问和合作;
- Failure to pay audit fees; 未缴纳审计费用;
- A prosecution proven against ASCP in a court or tribunal for a serious breach of laws governing criminal conduct, corporations or companies, competition or consumer protection, or misleading or deceptive conduct; 因严重违反有关犯罪行为、公司或公司、竞争或消费者保护的法律法规，或误导或欺骗行为而在法庭或法庭对 ASCP 提起的诉讼;

- A prosecution proven against a person who has control of the management of ASCP in a court or tribunal for a breach of laws governing serious criminal conduct. 控告控制 ASCP 管理的人在法庭或法庭因违反有关严重犯罪行为法律而被证明的起诉。

6.2. Non-appealable Certification Decisions 不可上诉的认证决定

- A decision to cancel a clients' certification has been made following a valid withdrawal of certification by another CB; 在另一个认证机构有效撤回认证后，决定取消客户的认证；
- A decision to cancel certification following the loss of the clients' valid recognition by the scheme owner (government department or other); 失去客户的有效认可后，由方案所有者（政府部门或其他）决定取消认证；
- A prosecution proven against the client organisation or agency in a court or tribunal for a serious breach of laws governing criminal conduct, corporations or companies, competition or consumer protection, or misleading or deceptive conduct; 因客户组织或机构严重违反有关犯罪行为、公司或公司、竞争或消费者保护的法律，或误导或欺骗行为而被法院或法庭证明对客户组织或机构提起的诉讼；
- A prosecution proven against a person who has control of the management of the client organisation or agency in a court or tribunal for a breach of laws governing serious criminal conduct. 控告控制客户组织或机构管理的人因违反有关严重犯罪行为法律而在法庭或法庭上被证明的起诉。

6.3. Appeals Process

ASCP shall inform the appellant of the decision concerning the Appeal together with the reason thereof in writing and within Three (3) months after receipt of the Appeal. ASCP 应在收到上诉后三 (3) 个月内以书面形式将有关上诉的决定及其理由通知上诉人。

- The complainant has 30 days from the date of the complaint decision to notify the EM of ASCP in written form of their intent to appeal a decision; 投诉人有 30 天的时间从投诉决定之日起以书面形式通知 ASCP 的 EM 他们对决定提出上诉的意图；
- The complainant will be provided with a copy of this procedure immediately the appeal request is received; 收到申诉请求后，将立即向申诉人提供该程序的副本；
- The complainant has sole responsibility to prepare the appeal; 投诉人全权负责准备上诉；
- The complainant will provide ASCP with: 投诉人将向 ASCP 提供：
 - 1) The decision to be appealed; 被上诉的决定；
 - 2) The basis in fact for the appeal; 上诉的事实依据；
 - 3) All supporting documentation required to substantiate the facts of the appeal. 证明上诉事实所需的所有支持文件。
- The EM and President will review the application for appeal and formally advise the complainant in writing of the grounds for dismissal of the appeal if not valid, or acceptance of the appeal in if valid; EM 和总裁将审查上诉申请，并以书面形式正式通知投诉人，如果上诉无效，则驳回上诉的理由，如果有效，则接受上诉；
- Information on the complainants' right to escalate the appeal to an external body will be provided with the complainant by the EM in initial formal acknowledgement of the appeal; 申诉人有权将申诉升级到外部机构的信息将在最初正式确认申诉时由 EM 提供给申诉人；
- The EM will, within 10 working days, appoint three fit and proper personnel to make up the Appeals/Complaints Panel (A/CP); 申诉人申诉将信息申诉升级到外部机构的最初正

式正式申诉时由 EM 提供给申诉人；

- The complainant will be notified within 5 working days of the composition of the A/CP and give written evidence of impartiality and non-conflicts of interest with either party to the appeal; 投诉人将在 A/CP 组成后 5 个工作日内收到通知，并提供公正和与上诉任何一方无利益冲突的书面证据；
- The complainant has the right to formally apply, and to seek, representation to present their case; 投诉人有权正式申请、寻求代理陈述案情；
- The complainant and the A/CP have the right to call witnesses, provided the names and addresses of the witnesses are supplied in writing, to the A/CP or complainant, not later than 5 days before the date of the A/CP hearing; 投诉人和 A/CP 有权传唤证人，前提是证人的姓名和地址以书面形式提供给 A/CP 或投诉人，不迟于 A/CP 听证会日期前 5 天；
- The A/CP will evaluate and make recommendations on the appeal within 3 months of the date the appeal is validated by the leadership and the EM; A/CP 将在上诉获得领导和 EM 批准之日起 3 个月内对上诉进行评估并提出建议；
- The judgments of the A/CP are considered binding; A/CP 的判断被认为具有约束力；
- In discretionary and exceptional circumstances, a decision may be made by the EM to refer the A/CP decision to the legal team to get an opinion or a decision review; A/CP 的判断被认为具有约束力；
- The judgement of the appeal will be signed by all members of the A/CP and a copy sent to the leadership of ASCP. The original will be kept in a secure file in the ASCP drive; 上诉判决书由 A/CP 全体成员签字，抄送 ASCP 领导。原件将保存在 ASCP 驱动器中的安全文件中；
- Any unreasonable conduct by the complainant will be addressed with reference to the QSP30 Managing Unreasonable Complaint Conduct; 投诉人的任何不合理行为将参照 QSP30 管理不合理投诉行为进行处理；
- An extension of time may only be granted by application to the President of ASCP; 延长只能向 ASCP 主席申请；
- All records will be shared in line with the ASCP Privacy policy; 所有记录将根据 ASCP 隐私政策共享；
- Submission, investigation and the decision on appeals shall not result in any discrimination against the complainant by ASCP; 提交、调查和上诉决定不得导致 ASCP 对投诉人的任何歧视；
- ASCP reserves the right to determine if any reasonable costs or out-of-pocket expenses associated with an unsuccessful appeal will be borne by the complainant. ASCP 保留决定是否由投诉人承担与上诉失败相关的任何合理费用或自付费用的权利。

6.4. Reporting and Finalisation of Appeals 申诉的报告和终结

Reporting and finalisation of appeals will follow the reporting and finalisation of complaints, as outlined in the Section 7.0 Complaints Management Procedure. 如第 7.0 节“投诉管理程序”所述，申诉的报告和最终确定将在申诉的报告和最终确定之后进行。

In the event that a client is unsatisfied with the outcome of an appeal the person managing the appeal shall advise the client of the alternate avenues to appeals resolution including but not limited to: 如果客户对上诉结果不满意，管理上诉的人员应告知客户其他上诉解决途径，包括但不限于：

- Accreditation bodies; 认可机构;
- CNAS and CNCA; CNAS 和 CNCA;
- Other governmental supervision authorities. 其他政府监管部门。

7.0 Complaints Procedure 投诉程序

7.1. Principle 原理

ASCP is continuously providing a publically available, clear and direct channel for all clients about how to make a complaint. An easy read procedure explaining how to make a complaint is available and reviewed annually with client and stakeholder consultation to ensure that it satisfies client and business requirements. ASCP 不断为所有客户提供公开、清晰和直接的投诉渠道。一个易于阅读的程序解释了如何提出投诉，每年都会与客户和利益相关者协商进行审查，以确保它满足客户和业务要求。

7.2. Complaint Process 投诉流程

ASCP complaint process is a step by step way to receive record, assess, review, respond and report on complaints. It will recognise that complaints can be made at various times and in various ways, to audit teams, to the QME who will be the Complaints Officer(CO) or to the EM and/ or President. ASCP 投诉流程是接收记录、评估、审查、回应和报告投诉的逐步方式。它将认识到，可以在不同时间以不同方式向审计团队、将成为投诉官 (CO) 的 QME 或向 EM 和/或总裁提出投诉。

- a) After receipt of complaints, Customer Service Unit shall record and submit complaints to QME(CO). 客户服务部接到投诉后，应将投诉记录并提交给 QME(CO)。
- b) Complaints are initially managed and resolved by the CO. The CO can refer a complaint to the EM and/ or the President depending on the seriousness of the complaint. 投诉最初由 CO 管理和解决。CO 可以根据投诉的严重性将投诉提交给 EM 和/或总裁。
- c) Unresolved complaints are referred to the EM and/ or the President for review and response. 未解决的投诉将提交给 EM 和/或总统进行审查和回应。
- d) People who are dissatisfied with the handling way or decision of their complaints will be provided with appeals process information and can contact superior supervision parties mentioned in clause 6.4. The CO will provide updated information to the complainant as requested. 对投诉处理方式或决定不满意的人员，将获得申诉处理信息，并可联系第 6.4 条所述的上级监督方。CO 将根据要求向投诉人提供更新的信息。

7.3. Receiving Complaints 受理投诉

Consumers can make a complaint in the following ways: 消费者可通过以下方式投诉:

- ✓ By telephone or in person; 通过电话或亲自;
- ✓ By email or online, via ASCP's website; 通过电子邮件或在线，通过 ASCP 的网站;
- ✓ In writing, addressed to the Complaints Officer; 以书面形式发送给投诉专员;
- ✓ Anonymously. 匿名。

If a complaint is made by an entrusted agency, the Complaints officer will check that the person is happy for ASCP to respond directly to their representative. 如果投诉是由委托机构提出的，投诉官将检查该人是否乐于让 ASCP 直接回复其代表。

7.4. Assisting Complainants

- The CS will assist each complainant to make a complaint, and tell them what

information they need to provide. CS 会协助每一位投诉人进行投诉，并告知他们需要提供哪些资料。

- The CS will make sure that if a person needs an interpreter, or has communication difficulties the appropriate interpreter service or communication partner is contacted to assist them with their complaint settlement. CS 将确保如果一个人需要口译员，或有沟通困难，联系适当的口译服务或沟通伙伴，以帮助他们解决投诉。

7.5. Acknowledging the receipt of complaints 确认收到投诉

- The CS will let complainants know their complaints are received within 2 days (48 hours); CS 将在 2 天 (48 小时) 内让投诉人知道他们的投诉已收到;
- The CS can let complainants know their complaints are received verbally or in writing, depending on the requested method of reply; 根据要求的回复方式，CS 可以让投诉人知道他们的投诉是以口头或书面形式收到的;
- Acknowledgements will tell complainants how long it will take to handle the complaint and contact details for the officer dealing with the complaint; Acknowledgements 会告诉投诉人处理投诉需要多长时间以及处理投诉的官员的联系方式;
- The original contact person will remain the central point of contact unless the complaint escalates. 除非投诉升级，否则原联络人仍将是中心联络人。

7.6. Recording Complaints 记录投诉

All complaints will be recorded in the Complaints and Appeals Register, includes: 所有投诉都将记录在投诉和上诉登记册中，包括:

- ✓ The complaint reference number; 投诉参考编号;
- ✓ The name of the complainant; 投诉人姓名;
- ✓ The date and time the complaint was first received; 首次收到投诉的日期和时间;
- ✓ The content of the complaint; 投诉内容;
- ✓ The outcome of the complaint; 投诉结果;
- ✓ Date and time the complaint was finalised; 投诉完成的日期和时间;
- ✓ All action required and the date ASCP will take action. 所有需要采取的行动以及 ASCP 采取行动的日期。

All written complaints will be referred to the CO. The CO will arrange for the complaint details to be recorded in the Complaints and Appeals Register. 所有书面投诉都将提交给 CO。CO 将安排将投诉详情记录在投诉和上诉登记册中。

All verbal complaints will be recorded by the receiving CS and passed on to the CO. Details of the complaint will be entered in the complaints register. If a verbal complaint is complex, the CO can ask the complainant to put their complaint in writing or, where possible a meeting. 所有口头投诉将由接收 CS 记录并传递给 CO。投诉的详细信息将记录在投诉登记册中。如果口头投诉很复杂，CO 可以要求投诉人以书面形式提出投诉，或在可能的情况下召开会议。

The CO will create a full record of how the complaint is managed on the Complaints Report, includes: CO 将在投诉报告中创建投诉管理方式的完整记录，包括:

- ✓ The complaint reference number; 投诉参考编号;
- ✓ The name and contact details of the complainant; 投诉人的姓名和联系方式;
- ✓ Date, time and the channel the complaint was received; 收到投诉的日期、时间和渠道;

QSP30: Appeals, Complaints and Disputes Management

Hard copies are uncontrolled.
Verify Effective Date prior to use.



- ✓ The content of the complaint;投诉内容;
- ✓ Information collected and considered by the CO;CO 收集和考虑的信息;
- ✓ All actions taken to fix the problem;为解决问题而采取的所有措施;
- ✓ The complaint decision and the reasons for the decision;投诉决定及决定理由;
- ✓ The finalisation communicated to complainant;最终结果传达给投诉人;
- ✓ The date and time the complaint is finalised.投诉结束的日期和时间。

7.7. Investigating Complaints 调查投诉

7.7.1. Each complaint will be viewed on its nature carefully to define:将仔细查看每项投诉的性质，以定义：

- ✓ The content of the complaint;投诉内容;
- ✓ The management, including the urgency level;管理，包括紧急程度;
- ✓ If any extra supporting information needs to be gathered.是否需要收集任何额外的支持信息。

7.7.2. The CO needs to needs to investigate into:CO 需要调查：

- ✓ Whether the complaint involves any action or inaction by staff or a contractor;投诉是否涉及员工或承包商的任何作为或不作为;
- ✓ Whether the complainant is directly affected;投诉人是否受到直接影响;
- ✓ Whether the complaint is worth to be investigated (is it an unreasonable complaint?);投诉是否值得调查（是否是不合理的投诉？）;
- ✓ Whether the the complainant has a right to appeal the company's decision;投诉人是否有权对公司的决定提出上诉;
- ✓ What is the complainant' expectation action of ASCP against the problem.投诉人期望 ASCP 针对问题采取的行动是什么？

7.7.3. Anonymous complaints will be accepted and dealt with as other complaint.匿名投诉将作为其他投诉被接受和处理。

7.7.4. Important considerations include:重要的考虑因素包括：

- ✓ The seriousness level of the complaint;投诉的严重程度;
- ✓ The sufficiency of available information;可用信息的充分性;
- ✓ The capability of ASCP to properly investigate the complaint.ASCP 正确调查投诉的能力。

The CO's assessment of each complaint will be recorded in the Complaints and Appeals Register.CO 对每项投诉的评估将记录在投诉和上诉登记册中。

7.8. Complaints Against the Certified Clients 对认证客户的投诉

If ASCP receives a complaint about a certified client, the CO, or the complaint receiver will respond and record the complaint in the same manner as stated in this procedure. In additional, the CO will:如果 ASCP 收到关于认证客户的投诉，CO 或投诉接收者将按照本程序中所述的相同方式回应并记录投诉。此外，CO 将：

- ✓ Estimate the complaint and the effectiveness of the client's management system;评估客户的投诉和管理体系的有效性;
- ✓ After the confirming the validness of the complaint, refer the complaint to the certified client at an appropriate time;在确认投诉的有效性后，在适当的时候将投诉提交给认证客户;

QSP30: Appeals, Complaints and Disputes Management

Hard copies are uncontrolled.

Verify Effective Date prior to use.



- ✓ Ensure that information about the source(e.g. complainant, regulators etc.) and content of the complaint are treated as confidential and not disclosed to the client;确保有关来源（例如投诉人、监管机构等）和投诉内容的信息被视为机密信息，不会透露给客户；
- ✓ Determine, together with the certified client and the complainant, whether and to what extent the subject of the complaint and its resolution will be made public.与获证客户和投诉人一起确定投诉的主题及其解决方案是否公开以及在多大程度上公开。

7.9. Reviewing complaints 审查投诉

Complaints will be dealt with quickly and efficiently and will also be handled in a fair and objective way.投诉会得到快速有效的处理，也会以公平和客观的方式处理。

The CO will:CO 将:

- Talk to the complainant to check whether they understand all the issues;与投诉人交谈，了解他们是否了解所有问题；
- Gather and consider all necessary information about the complaint;收集并考虑有关投诉的所有必要信息；
- Identify and consider relevant laws, policies and procedures;识别并考虑相关的法律、政策和程序；
- Give anyone affected by the complaint a fair hearing before the complaint is decided;在决定投诉之前，让任何受投诉影响的人获得公平的听证会；
- Finalise a proper and reasonable way to fix the problem;最终确定解决问题的适当和合理的方法；

ASCP can fix the problem by:ASCP 可以通过以下方式解决问题:

- ✓ Apologising;道歉
- ✓ Offering a refund or financial compensation;提供退款或经济补偿；
- ✓ Changing the decision causing the complaint;改变引起投诉的决定；
- ✓ Improving the policy, practice, procedure causing the complaint;改进引起投诉的政策、做法、程序；
- ✓ Fixing misleading or inaccurate records;修复误导性或不准确的记录；
- ✓ Offering help, providing further information or referring the complaint to other impartial individual or party who can help.提供帮助、提供进一步信息或将投诉转介给可以提供帮助的其他公正的个人或团体。

7.10. Finalisation to Complaints 投诉终结

The CO, EM or President will share the finalisation with the complainant within 15 working days of the complaint being received.CO、EM 或总裁将在收到投诉后 15 个工作日内与投诉人分享最终结果。

ASCP's finalisation can also be provided verbally, but should be confirmed in written within 20 working days of the complaint receipt.ASCP 的定稿也可以口头提供，但应在收到投诉后 20 个工作日内以书面形式确认。

If the finalisation cannot be provided within stipulated time, the CO will let the complainant know the method and progress of the complaint.如果不能在规定时间内完成，CO 将告知投诉人投诉的方法和进度。

QSP30: Appeals, Complaints and Disputes Management

Hard copies are uncontrolled.
Verify Effective Date prior to use.



The finalisation will include:最终确定将包括:

- ✓ The content and reason of the final decision;最终决定的内容和原因;
- ✓ Contact details for the CO;CO 的联系方式;
- ✓ Information about the right of appeal.有关上诉权的信息。

7.11. Unresolved complaints 未解决的投诉

7.11.1. Appeal 上诉

Please refer to Section 6.0.请参阅第 6.0 节。

7.11.2. Dispute 争议

Please refer to Section 8.0.请参阅第 8.0 节。

7.12. Complaints Reporting 投诉举报

7.12.1. Internal Reporting 内部报告

The EM and President will receive a report quarterly from the CO, including:EM 和总裁将每季度收到 CO 的报告, 其中包括:

- ✓ Identify and analyse complaint trends, significant issues and review that the complaints process is operating effectively;识别和分析投诉趋势、重大问题并审查投诉流程是否有效运行;
- ✓ Include any recommendations for improvement;包括任何改进建议;
- ✓ Monitor the implementation of accepted recommendations and opportunities for improvement from all complaints feedback.从所有投诉反馈中监控已接受建议的实施的改进机会。

7.12.2. External Reporting 外部报告

Complaints will be reported to national supervision authorities or accreditation bodies depends on the requirements of each parties monthly or annually. 投诉将根据各方的要求每月或每年报告给国家监管机构或认证机构。

Report will contain the following information about the complaints and appeals process:报告将包含以下有关投诉和上诉流程的信息:

- ✓ A statement about how the process is working, including an assessment of the company's performance in resolving complaints under this procedure;关于流程如何运作的声明, 包括对公司在此程序下解决投诉的表现的评估;
- ✓ The number of all complaints made, resolved and unresolved during the financial year;财政年度内提出、解决和未解决的所有投诉的数量;
- ✓ The number of complaints unresolved from the previous financial year.上一财政年度未解决的投诉数量。

Please refer to Certification Information Management Procedure for more requirements.更多要求请参考认证信息管理程序。

7.13. Privacy Complaints 隐私投诉

7.13.1. Examining Complaints 审查投诉

The CO will determine if the complaint involves the handling of a consumer's information by the Company, staff or contractors.CO 将确定投诉是否涉及公司、员工或承包商对消费者信息的处理。

If the determination is:如果确定是:

- YES: The complaint will be treated as a privacy complaint (go to 7.13.2)YES: 投诉将被视为隐私投诉 (转至 7.13.2)
- NO: Follow the usual complaints management process.NO: 遵循通常的投诉管理流程。

7.13.2. Information of Complaints 投诉信息

7.13.2.1. Owner of the Information 信息的所有者

The CO will check that the personal information involved in the complaint is the complainant's personal information. CO 将检查投诉中涉及的个人信息是否为投诉人的个人信息。

If the determination is: 如果确定是:

- YES: Go to 7.1.3. 是: 转 7.1.3.
- NO: Clarify the complainant's authority to act for the person whose personal information involved. 否: 明确投诉人为个人信息所涉及的人行事的权力。

The CO will not release any information without a proper written authority. 没有适当的书面授权, CO 不会发布任何信息。

7.13.2.2. Content of the Privacy Complaints 隐私投诉的内容

- Collection of personal (including sensitive) information; 个人 (包括敏感) 信息的收集;
- Use and/or disclosure of personal information; 使用和/或披露个人信息;
- Accuracy of personal information; 个人信息的准确性;
- Security of personal information; 个人信息安全;
- Refusal to give access to personal information; 拒绝提供个人信息;
- Refusal to correct personal information; 拒绝更正个人信息;
- Other interferences with the complainant's privacy; 其他干扰投诉人隐私的;
- Unsure, if you are not sure, go back to the complainant and seek further information. 不确定, 如果您不确定, 请返回投诉人并寻求更多信息。

If the complaint is not one to which the Law on Protection of the Rights and Interests of Consumers and/or Tort Liability Act of P.R.C applies or the CO can investigate, the CO and the EM must consider the possibility of adopting the usual complaint handling procedures. 如果投诉不是《中华人民共和国消费者权益保护法》和/或《侵权责任法》适用的投诉或 CO 可以调查的投诉, 则 CO 和 EM 必须考虑采用通常的投诉处理程序的可能性。

7.13.3. Contacting the complainant 联系投诉人

The CO, with the approval of the EM, will contact the complainant within 24 hours to advise: 经 EM 批准后, CO 将在 24 小时内联系投诉人, 告知:

- The understanding of the conduct complained about; 对被投诉行为的理解;
- The understanding of the controversial privacy obligations, for example the particular laws (if appropriate); 对有争议的隐私义务的理解, 例如特定的法律 (如适用);
- The third party is conducting an investigation (if appropriate); 第三方正在进行调查 (如适用);
- The name, title, and contact details of the staff member handling the complaint; 处理投诉的工作人员的姓名、职务和联系方式;
- The impartiality of the staff member; 工作人员的公正性;
- Acquiring of the expected outcomes of the complainant; 获得投诉人的预期结果;
- Estimated time of the following contact with the complainant. 与投诉人后续联系的预计时间。

7.13.4. Investigating Privacy Complaints 调查隐私投诉

- The facticity of the complaint content; 投诉内容的真实性;
- Confirmation of relevant privacy obligation(s) and why; 相关隐私义务的确认为原因;
- The compliance of the complaint conduct with the organisation's privacy obligation(s), for example, the exceptions or exemptions under national laws; 投诉行为是否符合组织的隐私义务, 例如国家法律规定的例外或豁免;

QSP30: Appeals, Complaints and Disputes Management

Hard copies are uncontrolled.

Verify Effective Date prior to use.



- If the obligations are not fulfilled, it will be taken into account that the possibilities of satisfaction regarding to the complainant's requested outcomes, which may be: 如果未履行义务, 将考虑对投诉人要求的结果满意的可能性, 可能是:
 - 1) An apology(private or public);道歉 (私下或公开) ;
 - 2) Improving procedure(s);改进程序;
 - 3) Payment of compensation for loss or damage suffered.对遭受的损失或损害的赔偿。

7.14. Requirements of Communication 沟通要求

7.14.1. Responding 回应

The CO will respond to the complaint in a clear and appropriate manner:CO 将以明确和适当的方式回应投诉:

- It is usually required to response to the complaint in written, but it can be a call for the first contact with the complainant;通常要求以书面形式回应投诉, 但也可以通过电话与投诉人进行第一次接触;
- Include details about the information as the basis of the response;包括有关信息的详细信息作为响应的基础;
- Offering a chance for the complainant to reply about the response, if appropriate, the offer of a meeting or discussion;为投诉人提供机会就回应作出答复, 如果合适, 提供会议或讨论;
- Include an apology for failure of complying with the relevant privacy obligation(s) and any other appropriate additional outcomes.包括对未能遵守相关隐私义务和任何其他适当的附加结果的道歉。

7.14.2. Manage the Complainants Reply 管理投诉人回复

The CO will review and refer the complainants reply to the EM. The CO will then:CO 将审查投诉人的答复并将其转交给 EM。 然后, CO 将:

- ✓ Assess any reply or further information from the complainant;评估投诉人的任何答复或进一步信息;
- ✓ Consider any alterations of view affected by the reply, if initially found the organisation's failure of complying with its privacy obligation(s);如果最初发现组织未能遵守其隐私义务, 则考虑受回复影响的任何观点改变;
- ✓ Consider the possibility of inviting an external mediator for helping resolving the complaints.考虑邀请外部调解员帮助解决投诉的可能性。

If the complainant remains unsatisfied with the outcome, refer the complainant to the independent A/CP (if it deals with privacy issues) or, if the A/CP is unable to deal with the privacy complaint refer Clause 7.15. 如果投诉人对结果仍然不满意, 请将投诉人提交给独立的 A/CP (如果它处理隐私问题), 或者如果 A/CP 无法处理隐私投诉, 请参阅第 7.15 条。

7.14.3. Continuous Improvement 持续改进

The CO and EM will consider any systemic issues raised by the privacy complaint and develop possible controls such as:CO 和 EM 将考虑隐私投诉引起的任何系统性问题, 并制定可能的控制措施, 例如:

- Privacy training;隐私培训;
- Amendment of policies, forms and/or collection notices;政策、表格和/或收款通知的修改;
- Providing additional accessible information;提供额外的可访问信息;
- Steps to improve data accuracy.提高数据准确性的步骤。

The CO will make a recording of all changes made and the EM will conduct an evaluation of all changes within 12 months, including all future privacy complaints and outcomes.CO 将记录所做的所有更改, EM 将在 12 个月内对所有更改进行评估, 包括所有未来的隐私投诉和结果。

QSP30: Appeals, Complaints and Disputes Management

Hard copies are uncontrolled.
Verify Effective Date prior to use.



The records of any privacy complaints will be externally input in the ASCP' Annual Report.任何隐私投诉的记录都将外部输入到 ASCP 的年度报告中。

7.15. Records of the Complaints 投诉记录

When finalised, the record of the complaint, investigation and outcomes will be preserved securely and in accordance with Documented Information Management Procedure.最终确定后, 投诉、调查和结果的记录将按照文件化信息管理程序安全保存。

For the complainant is unsatisfied with the outcomes, the complaints handler shall advise the complainant of the alternate avenues to complaints resolution including but not limited to: 如果投诉人对处理结果不满意, 投诉处理人员应告知投诉人其他解决投诉的途径, 包括但不限于:

- Accreditation bodies; 认可机构;
- CNAS and CNCA; CNAS 和 CNCA;
- Other governmental supervision authorities. 其他政府监管部门。

8.0 Dispute Procedure 争议程序

A dispute is an escalation from the dissatisfaction against the decisions. 争议是对决定的不满升级。

8.1. Disputes during audits 审核过程中的争议

Disputes raised in the process of certification audits are generally handled through discussion between the audit team leader and the auditee according to the certification basis. If consensus can not be reached after negotiation, the audit team leader will have the right to decide first and tell the auditee and/or the certification about the their rights to appeal. 认证审核过程中出现的争议, 一般由审核组长与被审核方根据认证依据协商处理。如果协商不能达成一致, 审核组长有权先行决定, 并告知被审核方和/或认证机构其上诉权。

8.2. Disputes Against the Finalisation of Complaints 对投诉终结的争议

All further disputes of a complaints' final response will: 投诉最终答复的所有进一步争议将:

- Escalate immediately to the President; 立即上报给总裁;
- Be reviewed by the EM to consider all the facts and events surrounding the initial complaint; 由 EM 审查, 以考虑围绕初始投诉的所有事实和事件;
- The EM will give a written update to the President; EM 将向总统提供书面更新;
- The EM will contact the complainant directly to discuss the nature of the dispute and seek a solution with the leaderships approval; EM 将直接与投诉人联系, 讨论争议的性质, 并在领导批准的情况下寻求解决方案;
- The EM will then communicate with the President and seek approval for the suggested solution; EM 将与总统沟通并寻求批准建议的解决方案;
- The EM will then communicate with the complainant in writing within 5 working days offering the agreed solution; EM 将在 5 个工作日内以书面形式与投诉人沟通, 提供商定的解决方案;
- In the event of further conflict, the matter will then be investigated by an independent Appeals/Complaints Panel – please refer to Section 6.0 Appeals Procedure 如果发生进一步的冲突, 此事将由独立的上诉/投诉小组进行调查——请参阅第 6.0 节上诉程序

8.3. Escalation of Disputes and Resolution by External Bodies 争议的升级和外部机

QSP30: Appeals, Complaints and Disputes Management

Hard copies are uncontrolled.
Verify Effective Date prior to use.



构的解决

In the event of a failure to resolve a dispute by the A/CP, the client has the rights and is supported to appeal to the external accreditation bodies and/or governmental supervision authorities.如果 A/CP 未能解决争议, 客户有权并被支持向外部认证机构和/或政府监管机构提出上诉。

Information on the right of appeal and the name of the external bodies is supplied to the disputant proposer by the CO in the initial letter of complaint acknowledgement.CO 在最初的投诉确认函中向争议提议者提供有关上诉权和外部机构名称的信息。

Revision History 修订记录

Revision #	Effective date	Section	Change Description
00	01/12/2020	All	Initial edition released.