



Complaints and Appeals Procedure

投诉及申诉程序

PRO-CA-001 - Version 5 - 27/03/2025

Issue Status Sheet

发行状态表单

The issue status is indicated by the version number in the footer of this document. It identifies the issue status of this Procedure. When any part of this Procedure is amended, a record is made in the Amendment Log shown below. The Procedure can be fully revised and re-issued at the discretion of the Compliance Assurance Team. Please note that this Procedure is not valid if printed or downloaded and is classed as "uncontrolled".

发行状态由本文档页脚中的版本号表示。它标识本程序的发行状态。当本程序的任何部分进行修改时，应在如下所示的修改日志中进行记录。合规保证团队可自行决定全面修订和重新发布此程序。请注意，如果打印或下载此程序是无效的，并被归类为“未受控”。

Version No. 版本号	Amendment 修改内容	Date 日期	Approved By (Document Owner) 由（文件拥有人）批准
1	Creation – Draft 创造-草稿	05/04/2024 2024/04/05	EM/PC
2	Update timelines for response 更新响应时间表	17/04/2024 2024/04/17	EM/PC
3	Updated to add align terminology 更新以添加一致的术语	02/05/2024 2024/05/02	EM/JR
4	Corrections to Footer Version number and text on The Issue Status paragraph 对页脚版本号和“发行状态”段落文本的更正	16/08/2024 2024/08/16	EM/PC
5	Procedure rewritten to align with Group protocol for Complaints and Feedback, Doc ID Ref changed, clearer guidance on investigation of Complaints and handling of Appeals 重写程序以符合投诉和反馈小组协议，更改文档编号，更清晰地指导投诉调查和处理申诉	27/03/2024 2024/03/27	PC/NH

Table of Contents

目录表

1.0 Procedure Objective

程序目的

2.0 Scope

范围

3.0 Definitions

定义

4.0 Responsibilities

职责

5.0 Complaint Management Process and Feedback

投诉管理流程和反馈

6.0 Appeals

申诉

7.0 Associated documents

相关文件

1. Procedure Objective 程序目的

- 1.1. To systemise the identification, recording and analysis of complaints, appeals and feedback with impartiality as standard.
以公正为准则，对投诉、申诉和反馈进行系统化的识别、记录和分析。
- 1.2. To facilitate the regular review of complaint and feedback analysis in line with Continuous Improvement requirements.
根据持续改进的要求，协助定期评定投诉及分析反馈意见。

2. Scope 范围

- 2.1. This procedure applies to complaints, appeals and feedback received from clients and interested parties. It is applicable to all elements of the Amtivo Management System and all members of staff.
本程序适用于从客户和利益相关方收到的投诉、申诉和反馈。它适用于 Amtivo 管理体系的所有要素和所有工作人员。

3. Definitions 定义

- 3.1. Definitions outlined in standards and supporting materials will be applicable.
标准和支持材料中概述的定义将适用。
- 3.2. **Appeal:** A disagreement that affects the outcome or decision of the certification, activities or certification scheme.
申诉: 影响认证、活动或认证体系的结果或决定的分歧。
- 3.3. **Complaint:** Any dissatisfaction with a product, service, process or work activity covered within the scope of the organisation's Management System that is reported by a client or Interested Party.
投诉: 客户或利益相关方对组织管理体系范围内的产品、服务、过程或工作活动的任何不满。
- 3.4. **Corrective Action:** Action taken to eliminate the cause of a complaint or nonconformance or implement a change or improvement.
纠正措施: 为消除投诉或不符合的原因或实施变更或改进而采取的措施。
- 3.5. **Feedback:** Evaluative information about a product, service, action, or process to the original source, which does not affect the outcome or decision of the certification activities or the certification scheme.
反馈: 向原始来源提供有关产品、服务、行动或过程的评价信息，这些信息不影响认证活动或认证体系的结果或决定。
- 3.6. **Nonconformance:** Any product, service, action or event that does not conform to a process or procedure detailed in the organisation's Management System but is not reported by a client.
不符合: 任何产品、服务、行为或事件，不符合组织管理体系中详细规定的过程或程序，但客户未报告。

4. Responsibilities 职责

- 4.1. Responsibility for all decisions at all levels of the complaints handling process shall lie with the Certification Body.
投诉处理过程中各级决策的责任应由认证机构承担。
- 4.2. It is the responsibility of the Compliance Assurance Manager to ensure that this procedure is implemented, and any resources required are made available.
合规保证经理有责任确保该程序得到实施，并提供所需的任何资源。

4.3. It is the responsibility of the Compliance Assurance Manager to monitor the effectiveness of this procedure and report the results at management reviews.
合规保证经理的职责是监督本程序的有效性，并在管理评审时报告结果。

4.4. It is the responsibility of the Compliance Assurance Manager to ensure the Amtivo Corrective Action Log is maintained and reviewed.
合规保证经理有责任确保 Amtivo 纠正措施日志 得到维护和评审。

4.5. It is the responsibility of the Compliance Assurance Manager to allocate complaints to the appropriate Department Lead for investigation.
合规保证经理有责任将投诉分配给适当的部门主管进行调查。

5. Complaint Management Process and Feedback 投诉管理流程和反馈

5.1. Clients, interested parties, or other members of the public may submit a complaint or other feedback through the website either via the form on the Feedback and Appeal page, or via the email link on the Contact page of the Amtivo/British Assessment Bureau website, which is automatically sent to the Assurance Team email address assuranceteam@amtivo.com. Emails detailing a complaint submitted to a member of staff will also be forwarded to this email address.
客户、利益相关方或其他公众可以通过网站，或通过反馈和申诉页面上的表格，或通过 Amtivo/British Assessment Bureau 网站“联系”页面上的电子邮件链接提交投诉或其他反馈，这些电子邮件会自动发送到保证团队的电子邮件地址 assuranceteam@amtivo.com。向工作人员提交的详细投诉电子邮件也将转发到此电子邮件地址。

5.2. The Compliance Assurance Manager is responsible for triaging incoming submissions to determine the following:
合规保证经理负责对收到的提交进行分类，以确定以下内容：

- If they are a complaint, expression of dissatisfaction or appeal of an audit result
是否是对审核结果的投诉、不满或申诉
- If a complaint or expression of dissatisfaction relates to certification activities Amtivo in the UK or Ireland are responsible for, or if they are related to a client certified by Amtivo in the UK or Ireland.
投诉或不满的表达是否与 Amtivo 在英国或爱尔兰负责的认证活动有关，或者是否与 Amtivo 在英国或爱尔兰的认证的客户有关。

5.3. The Compliance Assurance Manager shall ensure the complainant receives a formal acknowledgement of the complaint within three working days. An outline of the complaints procedure will be provided to the complainant.
合规保证经理应确保投诉人在三个工作日内收到正式的投诉确认。并会向投诉人提供投诉程序大纲。

5.4. The Compliance Assurance Manager will complete the initial stages of the Amtivo Management Systems Complaints Form and log the complaint on Amtivo Management Systems Complaints Tracker.
合规保证经理将完成 Amtivo 管理体系投诉表格 的初始阶段，并将投诉记录在 Amtivo 管理体系投诉追踪器 上。

5.5. The Compliance Assurance Manager will complete the first stage of the Amtivo Management Systems Complaints Form before submitting it with the Internal Corrective Action Submission Form to the Chief Service Delivery Officer, Sales Operations Manager or other appropriate Departmental Lead for delegation, investigation, corrective action, completion and return to the Assurance Team.
合规保证经理将完成 Amtivo 管理体系投诉表格 的第一阶段，然后将其与 内部纠正措施提交表格 一起提交给首席服务交付官、销售运营经理或其他适当的部门主管，以便委托、调查、纠正措施、完成并返回给保证团队。

5.5.1. The Compliance Assurance Manager and selected Departmental Lead shall ensure the investigation remains impartial and individuals tasked with participating shall:
合规保证经理和选定的部门主管应确保调查保持公正，负责参与调查的个人应：

- Be free from any conflict of interest with the complainant

与投诉人无任何利益冲突

- Be impartial and review all evidence provided
公正地评审所有提供的证据
- Meet Amtivo in Ireland and the UK's competence criteria as decision-maker for any related standard(s).
满足 Amtivo 在爱尔兰和英国的能力准则，作为任何相关标准的决定者。

5.6. The Compliance Assurance Manager will request updates weekly via email on all open complaint investigations from the relevant Departmental Lead.

合规保证经理将每周通过电子邮件要求相关部门领导更新所有公开投诉调查。

5.7. The Compliance Assurance Manager shall ensure the complainant is formally notified of the outcome of the investigation. Where the investigation, correction, and corrective action exceeds the anticipated 21 working day timeline for completion, the complainant shall be provided progress updates regularly.

合规保证经理应确保正式通知投诉人调查结果。如果调查、纠正和纠正措施超过预期的 21 个工作日完成时间，应定期向投诉人提供进展情况。

5.8. Containment actions, root cause analysis, and corrective action shall be documented in the Amtivo Corrective Action Log and on the Internal Corrective Action Submission Form.

控制措施、根本原因分析和纠正措施应记录在 Amtivo 纠正措施日志 和 内部纠正措施提交表 中。

5.9. Where a complaint is received regarding a client holding certification with Amtivo in the UK or Ireland, the client shall be contacted for comment and, where necessary, corrective action. The investigation of the complaint shall include a consideration for the effectiveness of the client's management system and determine if a special visit is required to further facilitate the investigation. This decision and any subsequent actions shall be documented in the Amtivo Corrective Action Log and on the Amtivo Management Systems Complaints Form.

如果收到关于在英国或爱尔兰持有 Amtivo 认证的客户的投诉，应联系客户征求意见，并在必要时采取纠正措施。投诉调查应考虑客户管理体系的有效性，并确定是否需要进行专门访问以进一步促进调查。本决定和任何后续措施应记录在 Amtivo 纠正措施日志 和 Amtivo 管理体系投诉表 中。

5.10. Where applicable, top management shall determine if the subject of the complaint and the resolution should be made public. 在适用的情况下，最高管理者应决定投诉的主题和解决方案是否应公开。

5.11. The Amtivo Management Systems Complaints Tracker shall be updated with the following information:
Amtivo 管理体系投诉追踪器 应更新以下信息：

- The records of all communications with the complainant, including formal notice of the end of the complaints handling process
与投诉人的所有通信记录，包括投诉处理过程结束的正式通知
- The results of the investigation
调查的结果
- Records of notifications to scheme owners and other interested parties, when required.
在需要时，向体系所有者和其他利益相关方发出通知的记录。
- Any subsequent correction or corrective action taken by Amtivo in the UK or Ireland.
Amtivo 在英国或爱尔兰采取的任何后续纠正或纠正措施。
- Whether the complaint was determined to be justified/partially justified/unjustified.
投诉是否被认定为合理/部分合理/不合理。

6. Appeals 申诉

6.1. Clients may submit an appeal through the website either via the form on the Feedback and Appeal page, or via the email link on the Contact page of the Company Website, which is automatically sent to the Assurance Team email address assuranceteam@amtivo.com. Any member of staff receiving an appeal should advise the Assurance Team immediately via their email address.

客户可以在网站或通过反馈和申诉页面上的表格提交申诉，也可以通过公司网站联系页面上的电子邮件链接提交申诉，这些电子邮件会自动发送到保证团队的电子邮件地址 assuranceteam@amtivo.com。任何收到申诉的工作人员都应立即通过其电子邮件地址通知保证团队。

- 6.2. Submission, investigation and decision on appeals shall not result in any discriminatory actions against the client.
申诉的提交、调查和裁决不得导致对客户的任何歧视性行为。
- 6.3. The Compliance Assurance Manager is responsible for logging the appeal in the **Amtivo Management Systems Complaints Tracker**.
合规保证经理负责将申诉记录在 **Amtivo 管理体系投诉追踪器** 中。
- 6.4. The Compliance Assurance Manager is responsible for formally acknowledging receipt of the appeal within three working days and advising the client of the appeals process. The client is to be invited to provide further information, all of which the Compliance Assurance Manager is to ensure is logged on **Amtivo Management Systems Complaints Tracker**.
合规保证经理负责在三个工作日内正式确认收到申诉，并通知客户申诉流程。客户将被邀请提供进一步的信息，合规保证经理将确保所有这些信息都记录在 **Amtivo 管理体系投诉追踪器** 上。
- 6.5. The Compliance Assurance Manager shall advise the relevant Scheme Manager of the appeal and both shall determine:
合规保证经理应将申诉通知相关的体系经理，双方应确定：
 - The team member(s) who conducted the audit
进行审核的团队成员
 - That the audit report has been completed in **Amtivo Connect** or **BabCom**.
审核报告已在 Amtivo Connect 或 BabCom 中完成。
- 6.6. The Compliance Assurance Manager and the Scheme Manager will appoint a committee of up to three members to review the appeal. These members must:
合规保证经理和体系经理将任命一个最多由三名成员组成的委员会来评审申诉。这些成员必须：
 - Be a certified auditor for the related standard(s) contracted or employed by Amtivo in Ireland or the UK
成为 Amtivo 在爱尔兰或英国签约或雇佣的相关标准的认证审核员
 - Be free of any conflict of interest with the client
与客户没有任何利益冲突
 - Be impartial
是公正的
 - Review all evidence provided
评审所有提供的证据
 - Have had no direct involvement in the audit or certification decision
没有直接参与审核或认证决定
- 6.7. The Appeals Committee will review the appeal over five working days. If they are unable to compete the appeal in this time, they must inform the Compliance Assurance Manager and Scheme Manager. The Compliance Assurance Manager will update the client who has lodged the appeal.
申诉委员会会在五个工作日内评审申诉。如果他们无法在这段时间内处理申诉，他们必须通知合规保证经理和体系经理。合规保证经理将向提出申诉的客户提供最新情况。
- 6.8. No member of the committee is permitted to participate in subsequent certification decisions for this audit.
委员会成员不得参与本次审核的后续认证决定。
- 6.9. The committee will provide a report to the Scheme Manager and Compliance Assurance Manager on completion of their investigation.
委员会在完成调查后，会向体系经理及合规保证经理提交报告。

6.10. The decision(s) reached by the committee shall be reviewed by the Compliance Assurance Manager and the Scheme Manager. The Compliance Assurance Manager will inform the client of the result of the appeal in writing, enclosing a copy of the Investigation Report. The client shall be notified of next steps and available options to contact the appropriate accreditation bodies or scheme owners.
委员会作出的决定应由合规保证经理和体系经理进行评定。合规保证经理将以书面形式通知客户申诉的结果，并附上调查报告的副本。应通知客户后续步骤和联系适当的认可机构或体系所有者的可用选项。

6.11. If the appealed nonconformity or certification decision was withdrawn, the Scheme Manager shall contact the auditor and/or decision maker to review the Appeal Committee's findings. The Scheme Manager will also change the status of the nonconformance to 'withdrawn' in client's non-conformances log in **Amtivo Connect** or **BABCOM**.
如果被申诉的不符合或认证决定被撤销，体系经理应联系审核员和/或决定人，评审申诉委员会的调查结果。体系经理还将在 **Amtivo Connect** 或 **BABCOM** 的客户不符合项日志中将不符合项状态更改为“撤销”。

6.12. When required, scheme owners and other relevant interested parties are informed of the outcome of decisions.
如有需要，体系拥有人及其他利益相关方会获得通知有关决定的结果。

6.13. The **Amtivo Management Systems Complaints Tracker** shall be updated with the following information:
Amtivo 管理体系投诉追踪器应更新以下信息:

- The email records of all communications with the client, including formal notice of the decision.
所有与客户沟通的邮件记录，包括决定的正式通知。
- The results of the investigation and decision.
调查和决定的结果。
- Records of notifications to scheme owners and other interested parties, when required.
在需要时，向体系所有者和其他利益相关方发出通知的记录。
- Any subsequent correction or corrective action taken by Amtivo in the UK or Ireland.
Amtivo 在英国或爱尔兰采取的任何后续纠正或纠正措施。

7. Associated Documents and Systems 相关文件和体系

7.1. Amtivo Management Systems Complaints Form COMP_MS_CF01
Amtivo 管理体系投诉表格 COMP_MS_CF01

7.2. Amtivo Management Systems Complaints Tracker COMP_CATMSCT_01
Amtivo 管理体系投诉追踪器 COMP_CATMSCT_01

7.3. Amtivo Corrective Action Log FOR-COR-001
Amtivo 纠正措施日志 FOR-COR-001

7.4. Internal Corrective Action Submission Form AMTIVO_ICASF_01
内部纠正措施提交表格 AMTIVO_ICASF_01

7.5. Amtivo Connect

7.6. BABCOM

7.7. All associated documents referred to in this procedure are highlighted in bold and underlined.
本程序中提及的所有相关文件均以粗体和下划线突出显示。

7.8. Master copies of documents are retained by Document Control.
文件的主副本由文件控制部门保存。