



Complaint Procedure
申投诉程序

Approved

ABS Quality Evaluations

Document #:	QES-PRO-00003	Revision:	1
Document Owner: 文件所有	QE - Administrative QE 行政部	Effective Date: 生效日期	11-Nov-2020 2020年11月11日
Document Type: 文件类型	Procedure 程序文件		

1.0 References

Child Documents

Document Number	Document Title
QES-ATT-00022 QES-ATT-00021	Customer Complaint Record Complaint Log

Other Related Documents

Document Number	Document Title
QES-MAN-00001	Management System Policy (MSP)

Non-linked References

Reference Number	Reference Description

2.0 Scope

2.1 This procedure addresses:本文件强调:

- Identification of Complaint 投诉的识别
- Processing the Customer Complaint 处理客户投诉



Complaint Procedure
申投诉程序

Approved

ABS Quality Evaluations

Document #:	QES-PRO-00003	Revision:	1
Document Owner: 文件所有	QE - Administrative QE 行政部	Effective Date: 生效日期	11-Nov-2020 2020年11月11日
Document Type: 文件类型	Procedure 程序文件		

- Complaint against an ABS QE Client by a third party:第三方对 ABS QE 客户的投诉
- Reporting 报告

3.0 Responsibilities 职责

- 3.1 Local Management has overall responsibility for maintenance and effective implementation of complaints in accordance with this procedure. 本程序由当地管理层全面负责按照本程序维护和有效实施投诉。
- 3.2 ABS QE maintains a publicly accessible complaint process. ABS QE 维持一个公开的投诉程序。
- 3.3 Submission, investigation, and decision on complaints shall not result in any discriminatory actions against the complainant. 提交、调查和作出申诉决定不得对申诉人采取歧视性行动。


4.0 Procedure 程序

Receipt of a Complaint: 收到投诉

- 4.1 A complaint directed at either ABS QE or one of its clients may be received by any employee in either a formal or informal manner. Complaints may be received by letter, fax, e-mail, in person, by phone or survey commentary. 针对 ABS QE 或其客户的投诉可由任何员工以正式或非正式方式接收。投诉可通过信函、传真、电子邮件、当面、电话或调查评论收到。
- 4.2 ABS QE confirms whether the complaint relates to certification activities or relates to an ABS QE client. ABS QE 确认投诉是否与认证活动有关或与 ABS QE 客户有关。
- 4.3 ABS QE representative shall send the Complaints / Appeals link to the client to complete. Copy / Paste to your browser. [Complaints and Appeals Link](#) ABS QE 代表应将投诉/申诉链接发送给客户完成。复制/粘贴到浏览器 [Complaints and Appeals Link](#)
- 4.4 Only Formal Complaints submitted through the portal will be logged. ABS QE and Client shall qualify the complaint as a Formal Complaint. ABS QE may open a Formal Complaint on its own authority and assessment of the situation. The portal submission is automatically sent to the President, Director and U.S. Operations Manager. 只有通过门户网站提交的正式投诉才会被记录。ABS QE 和客户应将投诉视为正式投诉。ABS QE 可能会根据自己的权限和对形势的评估提出正式投诉。门户提交将自动发送给总裁、总监和美国运营经理。
- 4.5 ABS QE shall acknowledge receipt of the complaint to the complainant within 5 working days. ABS QE 应在 5 个工作日内确认收到投诉人的投诉。
- 4.6 The recipient forwards the complaint to Local Management for logging. As many details as possible and any applicable correspondence should be included. The Customer Complaint Record (QES-ATT-00022) found in ETQ may be used to capture this information. 接受者将投诉转发给当地管理层进行记录。应包括尽可能多的细节和任何适用的通信。ETQ 中的客户投诉记录 (QES-ATT-00022) 可用于获取此信息。

Processing Customer Complaints: 处理客户投诉

- 4.7 ABS QE initiates contact with the originator acknowledging receipt of the complaint. Local Management will assign regional support and responsibility for handling complaints in their area (may include Technical

		Complaint Procedure 申投诉程序	
Approved		ABS Quality Evaluations	
Document #:	QES-PRO-00003	Revision:	1
Document Owner: 文件所有	QE - Administrative QE 行政部	Effective Date: 生效日期	11-Nov-2020 2020 年 11 月 11 日
Document Type: 文件类型	Procedure 程序文件		

Managers and Country-specific responsible personnel). ABS QE 开始与发起人联系，确认收到投诉。当地管理层将分配区域支持和责任来处理其区域内的投诉（可能包括技术经理和特定国家的负责人员）。

- 4.8 The Complaint Log (QES-ATT-00021) is updated by Local Management upon receipt of the complaint form or other means of communication (i.e., email, letter, etc.) and generates a Complaint Number. Number format: YYYY-NUM. [Complaint Log Link](#) 投诉日志（QES-ATT-00021）由当地管理层在收到投诉表或其他通信方式（如电子邮件、信函等）后更新，并生成投诉编号。数字格式：YYYY-编号。 [Complaint Log Link](#)
- 4.9 The designated person(s) investigating and correcting the Complaint: 指定人员调查和纠正投诉：
- a. Completes necessary actions in a timely manner (usually 30 days after initial contact). 及时完成必要的行动（通常在初次接触后 30 天）。
 - b. Returns the Complaint Form, and/or other means of communication, with all associated correspondence, to the Country Manager or designee. 将投诉表和其他沟通方式，连同所有相关信函返回国家经理或指定人员。
- 4.10 The investigation covers all issues identified in the complaint, is documented, and includes the following, as applicable: 调查涵盖投诉中发现的所有问题，并记录在案，适用时包括以下内容：
- a. Nature of the complaint. 投诉的性质。
 - b. Validity of the complaint. 投诉的有效性。
 - c. Review during next surveillance audit required. 在下次监督审核期间进行审查。
 - d. Any action to be taken against a certificate. 对证书采取的行动
 - e. The certification body shall determine, together with the client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution shall be made public. (Applies only to 3rd party complaints) 认证机构应与客户和申诉人一起确定是否并在何种程度上公布申诉主题及其解决办法。（仅适用于第三方投诉）
 - f. Special audit team required. (Applies only to 3rd party complaints) 需要特殊审核小组。（仅适用于第三方投诉）
 - g. Special audit required. In case of complaints from workers of an SA 8000/BSCI certified organization, an unannounced audit and interviews with outside stakeholders, such as trade unions, NGOs and complainant, among others, may be required in cases where the validity, extension and/or resolution of the complaint requires on-site observation or interviews, and it cannot be determined by any other means. (Applies only to 3rd party complaints) 需要特别审核。如果来自 SA 8000/BSCI 认证组织的工人的投诉，如果投诉的有效性、延期和/或解决需要现场观察或面谈，并且无法得到批准，则可能需要对外部利益相关者（如工会、非政府组织和投诉人等）进行未经宣布的审核和面谈以任何其他方式确定。（仅适用于第三方投诉）
 - h. Investigation and report required from the Client. In cases involving SA 8000/BSCI complaints, may be convenient to inform the customer about the complaint, and ask for a report, only after the unannounced audit, if applicable. (Applies only to 3rd party complaints) 客户要求的调查和报告。在涉及 SA 8000/BSCI 投诉的情况下，只有在未经通知的审核之后（如适用），才可以方便地将投诉告知客户，并要求报告。（仅适用于第三方投诉）
- 4.11 Local Management, Country Manager, or designee (may include Technical Managers and Country-specific responsible personnel): 当地管理层、区域经理或指定人员（可能包括技术经理和特定国家的负责人员）：



Complaint Procedure
申投诉程序

Approved

ABS Quality Evaluations

Document #:	QES-PRO-00003	Revision:	1
Document Owner: 文件所有	QE - Administrative QE 行政部	Effective Date: 生效日期	11-Nov-2020 2020年11月11日
Document Type: 文件类型	Procedure 程序文件		

- a. Monitors progress in identifying action to resolve. 监控确定解决措施的进度。
- b. Convenes action committees as required. 根据需要召集行动委员会。
- c. Processes as an Internal Corrective Action, if applicable. 进行内部纠正措施的过程（如适用）。
- d. Determines adequacy of resolution. 确定决议的充分性。
- e. Assigns implementation responsibility for resolution. 分配解决方案的实施责任。
- f. Communicates result of complaint investigation with client or applicable regional office or complainant. 与客户或相关地区办事处或投诉人沟通投诉调查结果。
- g. Closes out the Complaint Record when action is satisfactory. 当行动令人满意时，关闭投诉记录。

4.12 Local Management or Country Manager coordinates the investigation process when the complaint may have a global impact. 当投诉可能具有全球影响时，当地管理层或区域经理协调调查过程。

4.13 Closure ideally should occur 30 days after initial contact and is usually done by written communication to both the client and the third party registering the complaint. At this time, the Complaint Log is updated reflecting the complaint closure date. If complaint cannot be closed within 30 days, then and if deemed necessary, the party who filed the complaint will be contacted notifying them of the status of the complaint. 理想情况下，结案应在初次接触后 30 天内进行，通常通过与客户和登记投诉的第三方的书面沟通完成。此时，将更新投诉日志以反映投诉结束日期。如果投诉无法在 30 天内结束，那么，如果认为有必要，将联系提出投诉的一方，通知他们投诉的状态。


Complaint against an ABS QE client by a third party 第三方对 ABS QE 客户的投诉

4.14 Third parties may file complaints against organizations certified by ABS QE. The nature and validity of the complaints may vary depending on the type of certification held by the organization the complaint is filed against. Examples: a complaint about quality of a product supplied by an ISO 9001 certified company, a complaint about discrimination in an SA 8000/BSCI certified organization or a complaint about noise generation by an ISO 14001 company. It is important to obtain as much information as possible, preferably in writing. Resolution of the complaint may be verified at the next scheduled audit or during a special audit, if deemed necessary. 第三方可对 ABS QE 认证的 organization 提出投诉。投诉的性质和有效性可能因投诉所针对的组织持有的认证类型而异。例如：关于 ISO 9001 获证公司提供的产品质量的投诉、关于 SA 8000/BSCI 获证组织的歧视的投诉或关于 ISO 14001 获证公司产生噪音的投诉。获得尽可能多的信息很重要，最好是书面形式。如有必要，可在下次定期审核或特别审核期间核实投诉的解决情况。

4.15 Third party complaints are processed in the same manner as above. 第三方投诉的处理方式同上。

4.16 The client is advised of the complaint at the outset of the investigation, except in the case of SA 8000/BSCI certified organizations when such action may compromise the results of the investigation. In these cases, the customer is advised during an unannounced audit, or after the steps that needs secrecy. The client is requested to send a report, explaining their position about the complaint. 在调查开始时告知客户投诉，但 SA 8000/BSCI 获证组织的情况除外，因为此类行为可能会损害调查结果。在这些情况下，客户会在未经通知的审核期间，或在需要保密的步骤之后得到建议。客户被要求发送一份报告，解释他们对投诉的解决情况。

For Complaints against ABS-QE or ABS-QE clients sent directly to SAAS, the requirement for complaints from third parties shall be fulfilled, and, in addition, after receiving the SAAS communication, the President, or his designee, will:

		Complaint Procedure 申投诉程序	
Approved		ABS Quality Evaluations	
Document #:	QES-PRO-00003	Revision:	1
Document Owner: 文件所有	QE - Administrative QE 行政部	Effective Date: 生效日期	11-Nov-2020 2020年11月11日
Document Type: 文件类型	Procedure 程序文件		

对于直接发送给SAAS的针对ABS-QE或ABS-QE客户的投诉，应满足第三方投诉的要求，此外，在收到SAAS沟通后，总裁或其指定人员将：

- a. Acknowledge receipt of the SAAS complaint. 确认收到SAAS投诉。
- b. Contact complainant, if identified, and inform about the actions taken *联系投诉人（如果确定），并告知所采取的行动*
- c. Report to SAAS the action plan within 10 days. 在10天内向SAAS报告行动计划。
- d. Sent reports every 30 days, informing the status. 每30天发送一次报告，通知状态。
- e. Be in contact with the complainant, with part of investigation. 与投诉人保持联系，参与部分调查。
- f. Complete the investigation within 90 days or sooner, unless otherwise agreed to by the SAAS Director of Accreditation. 在90天或更短时间内完成调查，除非SAAS认证总监另有同意。

* Note: In the case of complaints filed against SA 8000/BSCI certified organization the identity of the third party which filed the complaint is not be disclosed to the client without the third party's consent

*注：对于针对 SA 8000/BSCI 获证组织提出的投诉，未经第三方同意，不得向客户披露提出投诉的第三方的身份

- 4.17 Client Services is notified of any special requirements for auditing. 审核的任何特殊要求均通知客户服务部。
- 4.18 For complaints pertaining to projects with EMA mark, the third party who has filed the complaint will be contacted notifying them of the status of the complaint within 10 business days from the date the complaint was received. Also, every effort will be made to close the complaint within 10 business days from the date the complaint was received. 对于与具有 EMA 标志的项目有关的投诉，将在收到投诉之日起 10 个工作日内联系提交投诉的第三方，通知他们投诉的状态。此外，将尽一切努力在收到投诉之日起 10 个工作日内结束投诉。

5.0 Document Repository 文件存档

- 5.1 All relative correspondence and documents shall be stored in the SharePoint document repository. File naming convention shall begin with the same format as the Complaint Log Number and shall include client name and primary certificate number. File name format: YYYY-NUM-Client Name-CERTI. [Document Repository Link](#) 所有相关信件和文件应存储在 SharePoint 文档库中。文件命名约定应以与投诉日志编号相同的格式开始，并应包括客户名称和主要证书编号。文件名格式：YYYY-编号-客户名称-证书号。
[Document Repository Link](#)

6.0 Reporting 报告

- 6.1 Periodic review of Complaint Log status shall be done periodically by Operations Manager. 运营经理应定期审查投诉日志状态。

7.0 Training and Knowledge 培训和知识

Training requirements are defined within this procedure. 本程序规定了培训要求。



Complaint Procedure
申投诉程序

Approved		ABS Quality Evaluations	
Document #:	QES-PRO-00003	Revision:	1
Document Owner: 文件所有	QE - Administrative QE 行政部	Effective Date: 生效日期	11-Nov-2020 2020年11月11日
Document Type: 文件类型	Procedure 程序文件		

8.0 Quality Records 质量记录

N/A EtQ CAPA Tracking Database 不适用 EtQ CAPA 跟踪数据库

Customer Complaint Record (QES-ATT-00022), if applicable 客户投诉记录 (QES-ATT-00022) (如适用)

Complaint Log (QES-ATT-00021) 投诉日志

Current Revision

Revision	Created By	Date	Change Description
1	Brandy Stout	11-Nov-2020	The procedure was revised because it was outdated. 程序被修改因为它已经过时。

Previous Revisions

Revision	Created By	Date	Change Description
0	Brandy Stout	01-Nov-2017	Initial Version

Approval Log

Submitted for Document Owner Approval on 10-Nov-2020 by Brandy Stout to QE - Administrative
 Submitted for HSQE Review on 10-Nov-2020 by Martin O'Connell to Group Corporate Quality Coordinator
 Submitted for Awaiting Release on 10-Nov-2020 by Brandy Stout to Group Document Control
 Released to Production on 11-Nov-2020 by Brandy Stout