



IDFL Handling Complaints and Appeals

抱怨與申訴

1 Purpose

The purpose of this procedure is to describe handling of incidents, complaints and appeals received from the client and from other interested parties in order to maintain good communication and cooperation with clients, enhance client satisfaction, maintain the company's good image and reputation, and solve client complaints promptly.

2 Scope

This procedure covers all complaints and appeals received by any means, like written, verbal, e-mail etc. It also includes adverse findings during evaluation.

3 Definitions

- 3.1 Incidents:** Defined as complaints, suggestions, observations and opportunities for improvement.
- 3.2 Complaint:** Defined as incidents of grievance or dissatisfaction with certification services.
- 3.3 Suggestions:** Defined as positive or negative feedback identifying preventive action and system improvement.
- 3.4 Observations:** Defined as witnessed incidents of service, operational deficiency, malfunction and or failure. Observations are often made by individuals independent of the activity witnessed and therefore objective in nature. Observations play important role in identification of preventive action and system improvement.
- 3.5 Opportunities for Improvement:** Defined as incidents where the system has not failed, yet greater operational efficiency may be obtained in analyzing current practice. Opportunities for Improvement are often

1 目的

這個程序的目的是描述處理從客戶、內部和其他有利害關係團體來的抱怨及投訴的處理，以保持與客戶的良好溝通和合作，提高客戶滿意度，保持公司的良好形象和聲譽，及時解決客戶投訴，提高客戶對認證活動的滿意度和信任度。

2 適用範圍

此程序涵蓋了以書面、口頭、電子郵件等方式收到的所有抱怨及投訴，還包括評估過程中的負面教材。

3 定義

- 3.1 事件：**定義為投訴，建議，意見和改進機會。
- 3.2 投訴：**定義為對認證服務的不平或不滿意的事件。
- 3.3 建議：**定義為確定預防措施和系統改進的正面或負面反饋。
- 3.4 觀察：**定義為服務，運行不足，故障和/或失敗的目擊事件。觀察往往由獨立於所觀察到的活動的個人進行，因此是客觀性的。觀察在確定預防行動和系統改進方面發揮重要作用。
- 3.5 改進的機會：**定義為系統未失敗，但在分析現有實踐時可能獲得更高的運行效率的事件。改進的機會往往是內部收集的，但是從外部來源的投入也是有益的。

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collected internally, but input from external sources is also beneficial.

4 Procedure

4.1 Evaluation of Incidents

4.1.1 IDFL recognizes that incidents occur in daily operation that collectively has an impact on the evaluation process. To properly analyze and address incidents, a consistent and thorough process for collection of information is vital.

4.2 Receipt of Incidents

4.2.1 Incidents may be reported by any means – verbal or written. However, depending on the incident, we may request written report.

4.2.2 Our Regional Audit Manager will review each incident for further action.

4.2.3 The Regional Audit Manager shall contact (telephone, email, letter) the source to acknowledge the receipt of information within 5 working days of receipt. He shall understand the issue in detail from the source (to avoid any error in writing the report). He may decide to personally meet the initiator, depending on the gravity and seriousness of issue.

4.2.4 In case of suggestion or opportunity for improvement, it given to IDFL to study the suggestion and decide.

4.2.5 Regional Audit Manager validates the complaint after checking necessary back-up records or personal interview of auditors or other personnel involved.

4.3 Handling of Complaint and Observations

4.3.1 In case of a complaint /observation against systems or personnel, our IDFL Regional Audit Manager analyses the issue to determine if there is system error or person error. He shall determine the root cause and determine corrective and preventive action. The possible complaints are –

4 程序

4.1 事件評估

4.1.1 IDFL 認識到日常運作中發生的事件總體上會影響評估過程。為了妥善分析和處理事件，一致和徹底的收集信息的過程至關重要。

4.2 收到事件

4.2.1 事件可以通過任何手段進行報告 - 口頭或書面。但是，根據事件，我們可以要求書面報告。

4.2.2 區域審計經理將審查每一個事件，以進一步行動。

4.2.3 區域審計經理應在收到通知的 5 個工作日內聯繫（電話，電子郵件，信函）外部來源，確認已收到信息。他應該向事件來源詳細了解這個問題（避免寫報告時出錯）。根據問題的嚴重性和嚴重程度，區域審計經理可能決定親自見面發起人。

4.2.4 如果有建議或改進的機會，則給予 IDFL 研究建議並決定。

4.2.5 區域審計經理在核查必要的備份記錄或審計人員或其他有關工作人員的個人面談後確認投訴。

4.3 處理投訴和觀察

4.3.1 如果有關於系統或人員的投訴/觀察，區域審計經理分析這個問題以確定是否有系統錯誤或人為錯誤。他應該確定根本原因，並確定糾正和預防措施。可能的投訴是 -

- 管理 - 預約，認證文件，頒發或延遲發放證書方面的問題，

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- Administration – problems with appointments, certification files, certificates issued or issued late,
- Evaluators / subcontractor problems with incomplete evaluation or surveillance documentation
- Agents – problems with general compliance with administration or evaluation procedures

4.3.2 The correction is effective immediately to satisfy the complaint. This may include training / counseling the person involved. Appropriate action is taken based on discussions (change in procedure / formats, training to all personnel etc).

4.3.3 Regional Audit Manager shall communicate with the complainant at the end of the process detailing the findings and to formally close the complaint.

4.4 Handling of Appeals

Any client, who fails to satisfy an evaluation or surveillance, may appeal against the decision. Where an appeal is received the following procedure will be followed.

- 4.4.1 The Regional Audit Manager will appoint the members of the appeals committee under the leadership of the Managing Director who will hear the appeal and determine the outcome.
- All appeals shall be received by the Regional Audit Manager and details of appeals shall be recorded.
 - Regional Audit Manager shall investigate the appeal made and inform the client about its plan of action for investigation and action there upon.
 - A copy of the investigation report shall be sent to the client.
 - In case the issue still remains open; the same shall be intimated to the accreditation board for its valuable comments.
 - Necessary corrective and preventive actions

- 評估人員/分包商在評估不完整或監督文件方面的問題
- 代理-管理或評估程序的一般符合性問題

4.3.2 糾正立即生效以滿足投訴。這可能包括培訓/諮詢相關人員。根據討論情況採取適當的行動（程序/格式的變化，對所有人員的培訓等）。

4.3.3 區域審計經理應在程序結束時與投訴人溝通，詳細說明調查結果並正式結束投訴。

4.4 處理上訴

任何不滿足評估或監督的客戶都可能對該決定提起上訴。如果收到上訴，將遵循以下程序。

4.4.1 區域審計經理將在全球審計經理的領導下任命上訴委員會成員，全球審計經理將聽取上訴並確定結果。

- 所有上訴應由區域審計經理收到，上訴細節應記錄在上訴文件中。
- 區域審計經理應對所提出的上訴進行調查，並將其行動計劃通知客戶，以便在此進行調查和採取行動。
- 調查報告的副本應發送給客戶。
- 如果問題仍然存在，對評審委員會提出的寶貴意見也應予以通報。
- 根據上訴趨勢，採取必要的糾正和預防措施。
- 上訴趨勢及採取的糾正和預防措施也應作為管理評審會議的一部分進行審查。

4.4.2 如果客戶對由評估人員或認證委員會作出的決定提出上訴，則上訴應由區域審計經理記錄。通常由區

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shall be taken based on the appeal trend.

- Appeal trends and corrective and preventive action taken shall also be reviewed as part of the Management Review Meeting.

4.4.2 In case of an appeal made by a client against a decision made by evaluators, or certification committee, the appeal shall be recorded by Regional Audit Manager. A committee (usually made up of the Regional Audit Manager and Managing Director) shall review the appeal, investigate (which may include discussion with concerned client, respective auditors / lead auditors and review of Site Evaluation report). The committee may direct any other lead auditors to visit the site and determine the validity of the appeal. The decision shall be communicated to the client.

4.5 Handling of Suggestions and Opportunity for Improvement

4.5.1 In case of suggestion and opportunity for improvement, personnel fills the incident report and submits to Regional Audit Manager.

4.5.2 Regional Audit Manager studies the suggestion to determine any conflict with ISO/IEC 17065. In case the suggestion is in conflict, the same is communicated to the initiator. However, the suggestion is also discussed in Management Review Meeting. In case the suggestion is found not in conflict, the suggestion is studied for benefits and the impact on other processes.

4.5.3 The suggestion is accepted if found beneficial and does not adversely impact any other process. Regional Audit Manager determines the changes in existing documentation and implements Document Change process.

域審計經理和全球審計經理組成的委員會應審查上訴，調查（可能包括與有關客戶，各自審計師/主任審計員的討論，以及審查現場評估報告）。委員會可指示任何其他主任審核員訪問該網站並確定上訴的有效性。該決定應通知客戶。

4.5 處理建議和改進機會

4.5.1 如果有建議和改進的機會，工作人員填寫事件報告並提交給區域審計經理。

4.5.2 區域審計經理研究建議，以確定是否與 ISO / IEC 17065 有衝突的。如果建議有衝突，則同樣傳達給發起人。不過，這個建議也在管理評審會上討論。如果發現這個建議沒有衝突，那麼就對這個建議進行研究，以獲得對其他過程的好處和影響。

4.5.3 如果發現建議有利並且不會對其他過程產生不利影響的話，接受建議。區域審計經理確定現有文件的變更並實施文件變更過程。

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4.6 Closing of Complaint and Appeal

4.6.1 Depending on the nature of the non-conformity, the Regional Audit Manager and/or Managing Director may follow up with requests for corrective and preventive actions. When the investigation of client complaint and appeal determines that remote operation or other external organizations contributed to the complaint and appeal, the Regional Audit Manager or his delegate contacts these organizations and provides them with all relevant information.

4.6.2 Every client complaint and appeal is recorded. When there are copies of written communication, reports and other documents related to a complaint and appeal, these records are organized into a file and are identified with the complaint and appeal number and also having records of the corresponding corrective or preventive actions. The records of investigations that concern product quality or other test characteristics are maintained. Based on analysis of Client and/or interested parties complaint and appeal, necessary actions are taken and client is replied for closing the complaint and appeal. Management Team identifies need for taking corrective and preventive action to prevent such complaint and appeal in future and accordingly concerned person is informed.

4.6 抱怨及投訴的結束

4.6.1 根據不合格的性質，區域審計經理和/或全球審計經理可以跟進糾正和預防措施的要求。當調查客戶抱怨及投訴確定遠程操作或其他外部組織對抱怨及投訴做出了貢獻時，區域審計經理或其代表聯繫這些組織並向他們提供所有相關信息。

4.6.2 每個客戶的抱怨及投訴都被記錄下來。當有與抱怨及投訴有關的書面溝通，報告和其他文件的副本時，這些記錄被組織成一個文件，並與抱怨及投訴編號一致，包括相應糾正或預防措施的記錄。維護涉及產品質量或其他測試特性的調查記錄。根據客戶和/或有關方面的抱怨及投訴分析，採取必要的行動，並回復客戶關閉抱怨及投訴。管理團隊確定是否需要採取糾正和預防措施以防止此類投訴和呼籲日後再發生，并据此通知有關人員。