

# Complaint & Appeal Resolution Procedure

## 认证投诉解决程序

### 1. INTRODUCTION 介绍

The purpose of this Benchmarks policy is to establish a standard and structured process for the management of Complaints and Appeals received by Benchmarks. The purpose of this policy is to communicate the standard process to all operations to ensure that all appeals and complaints are handled in a professional and responsible manner. 此项 BM 政策旨在建立一个标准的机构化的程序, 管理 BM 收到的各类 投诉和申诉。同时将此标准化的程序传达到公司所有业务中, 所有的投诉 和申诉都以专业和负责任的方式解决。

The definitions used by Benchmarks are the following: 使用的定义如下

#### **Appeal** 申诉 :

An Appeal is defined as an “Appeal against a Certification Decision made by Benchmarks or Decision made by Benchmarks on the validity of a complaint against either Benchmarks or a Benchmarks Certified Organization”. 申诉指对于 benchmarks 所做认证决定的上诉或对于 BM 所认证组织投诉的有效性时所做决定的上诉。

#### **Complaints** 投诉:

A complaint is defined as “an expression of dissatisfaction by a person or organization (“party”) against either Benchmarks or a Benchmarks Certified organization”. 投诉指对于 BM 或 BM 所认证组织的书面抱怨。

### 2. GENERAL PRINCIPLES 通则

Complaints and appeals are registered directly on-line by the “party” on either the Benchmarks website and (or) directly on the Benchmarks local office’s website; This complaint form and the complaint/appeal process is publicly available in the same languages as the public certification summaries published by Benchmarks on-line. 投诉和申诉可由当事人在 BM 官网或者 BM 办公室网站上进行网络投递。投诉表和投诉及申诉处理程序文件是对外公开的。其使用的语言与 BM 在线的公开认证总结是一致的。

This complaint/appeal form is also available in print on party’s request. 投诉和申诉表也可以经由当事人以书面文件方式提供。

Complaints and appeals received must be recorded and the details transmitted to the relevant Benchmarks entity for processing. 收到的投诉和申诉必须做好记录, 具体细节交由相关 BM 部门进行处理。

In case of complaint or appeal received from a “party” which is not a Benchmarks client, due consideration must be given whether or not it is appropriate to answer, taking into account potential liability. In such cases, the content of the answer must be coordinated with the client. 若收到的投诉或申诉来自于非 BM 客户, 考虑到任何潜在的责任, 无论是否适合回答所提的问题, 相关部门都要给予应有的重视。

- The product Manager is the default channel for dealing with the complaints and appeals. End-responsible to carry out this process: 产品经理是处理投诉或申诉默认管道。具体实施过程中，负责人如下:
- For complaints,对于投诉，由产品经理负责;
- For appeals, The product Manager (related with the country of the appeal). 对于申诉，由产品经理(与此申诉所涉及国相关的)。

The relevant KPI must be monitored as a measure of effectiveness of the process (KPI). 为了提高处理的效率，必须监管相关绩效指标(KPI).

An overall review of customer's complaints or appeal process must be part of the annual Management System Review. 对客户投诉或申诉处理过程的整体审查必须作为年度管理系统审查的一部分。

The product Manager shall be informed of all complaints. In case of a critical risk (such as complaints involving a possible litigation, insurance declaration, court summons, loss of image, accreditation...) the complaints must be transferred to the CEO and Divisional legal contact. 产品经理，必须被通知所有的投诉。情节比较严重的必须通知 BM 总经理。当投诉有非常严重的风险(如涉及可能的 诉讼，保险申报，法院传召，名誉及授信资质的损失)，这类投诉必须通报给总经理和公司法务。

Benchmarks retains the anonymity of the complainant in relation to the client, if this is requested by the complainant and shall treat anonymous complaints and expressions of dissatisfaction that are not substantiated as complaints as stakeholder comments and address these during the next audit.如果投诉人提出要求，BM 保留投诉人对客户的匿名性，并将匿名投诉和表达不满的投诉视为利益相关方的意见，并在下次审核时予以解决。

### **3. OVERALL PROCESS STEPS 总体解决步骤**

For each complaint and appeal, the following points must be followed: 对于每一个投诉和申诉，以下要点必须遵循:

The complaint and appeal must be recorded by the product Manager of the receiving Benchmarks Entity. Complaints/appeals will normally be made in writing, but if not, Benchmarks office receiving the official oral complaint shall initiate a record in BM system. 接收到投诉和申诉的 BM 部门的产品经理必须做好记录。投诉和申诉通常情况下以手写的方式记录，如果不是，BM 办公室接收到正式的口头投诉后，必须在 BM 系统有记录。

2) The product Manager communicates the details of the complaint or appeal and findings to relevant internal parties where required Technical Manager shall liaise with Benchmarks (Holding) or the relevant accredited Benchmarks entity in order to reply adequately to the appeal or complaint. LTM 需要将投诉或申诉的细节及发现告知相关内部部门，在必要的情况下，产品经理必须与 BM 管代或者内部相关授信部门协商，来充分的回应投诉或申诉。

3) The product Manager shall 必须做到以下几点:

- record documents, ensure traceability of documents 记录所有相关文件，确保这些文件具有可追溯性;

- check the feasibility of the decisions and closes the case when solved 在问题得到解决后检查做出的决定的可行性，同时关闭此项案件。

4) Complaint shall be offered the opportunity to refer it to audit's dispute resolution process if the issue has not been resolved at the end of the complaint procedure with Benchmarks. 如果 BM 在投诉处理程序的最后都还未解决，此项投诉必须参考的争议解决程序。投诉或申诉的提交，调查以及最终做出决定都必须保证不能有对 当事人有任何歧视对待，而且全程必须保密。

The submission, investigation and decision on appeals/complaints shall avoid any discriminatory actions against the party. This process must be managed as confidential. The complainant has the opportunity to refer their complaint to ASI, if the issue has not been resolved through the full implementation of Benchmarks's own procedures, or if the complainant disagrees with the conclusions reached by the Benchmarks and/ or is dissatisfied by the way Benchmarks handled the complaint. As the ultimate step, the complaint may be referred to FSC. 如果问题没有通过必 BM 自身的程序全面实施解决，或者投诉人不同意 BM 认证达成的结论和/或不同意 BM 认证处理投诉的方法，投诉人有机会将其投诉转交给 ASI。作为最终步骤，投诉可能会提交给 FSC。

#### **4. APPEALS PROCESS 申诉处理流程**

Upon receipt of the appeal The product Manager shall determine if she or he was involved in the appealed decision – all appeals must be investigated by personnel different from those who carried out the audits and made the relevant certification decision. 在收到申诉后，产品经理首先要判定他/她本人是否涉事其中。必须保证调查申诉的人，不能参与审核过程及最终做出相关决策。

If she or he was involved, then a suitable qualified internal independent panel shall be appointed, and if not she or he can carry out the investigation. The panel is composed of 2 person. 如果产品经理参与其中，必须委任一个合适的有资格的内部独立的委员会负责执行，如果没有合适的人选，产品经理本人可以参与调查。此调查委员会由 2 人组成。

Any appeal received must be communicated in a timely manner to The product Manager to support the answer to the appellant that the appeal has been received and will be processed and to investigate the grounds of the appeal, by reviewing the appeal and associated files (contract review, audit reports, certification decision details) followed by preparing a report detailing the appeal. 任何收到的申诉都必须及时通报给产品经理，以协助告知申诉人其申诉已经收到，而且会马上通过审查申诉及相关文件(合同评审，审核报告，认证 决定详情)展开调查，之后会准备一份详尽的报告。

The receipt of the appeal must be acknowledged, according to the above principles, including an outline of the proposed course of action to follow up on the appeal, within 2 weeks of receiving it. 根据以上原则，在收到申诉两周之内，必须告知申诉人请求已收到，同时需要告知为解决此申诉一个整体的解决方式概览。

The product Manager shall monitor the results, have investigated and specified all its proposed actions in response to appellant(s) within 3 months of receiving the appeal with the support of The product Manager. 产品经理必须在收到申诉 3 个月内，监督处理结果，审查和详细说明应对申诉人的拟采取的措施。

## 5. COMPLAINTS PROCESS 投诉处理流程

Upon receipt of the complaint The product Manager shall determine if she/he was involved in the process in question – all complaints must be investigated by personnel different from those who carried out the audits and made the relevant certification decision. If s/he was involved, then a suitable qualified internal independent person(s) shall be appointed, and if not s/he can carry out the investigation. 在收到投诉后，产品经理首先要判定他/她本人是否涉事其中。必须保证调查投诉的人，不能参与审核过程及最终做出相关决策。如果产品经理参与其中，必须委任一个合适的有资质的内部独立的委员会负责执行，如果没有合适的人选，产品经理本人可以参与调查。

The receipt of the complaint must be acknowledged, according to the above principles, including an outline of the proposed course of action to follow up on the complaint, within 2 weeks of receiving it 根据以上原则，在收到投诉两周之内，必须告知投诉人请求已收到，同时需要告知为解决此投诉一个整体的解决方式概览。

The product Manager shall monitor the results and keep the complainant(s) informed of progress in evaluating the complaint, and have investigated the allegations and specified all its proposed actions in response to the complaint within 3 months of receiving the complaint 产品经理必须在收到投诉 3 个月内，监视处理结果，告知投诉处理的进展，审查投诉和详细说明应对投诉人的拟采取的措施。

Complaints hotline 投诉电话：(852) 2384 8696 · (852) 9100 9556 ；

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