

文件類別	Operational Procedures of Appeal and Complaint 申訴、抱怨處理程序	文件編號	版本	頁數
程序類		UCS-AP-027	A2	4

1. **Purpose 目的**
Handle the appeal and complaint which the applicant raised against UCS to ensure UCS is in good standing and safeguard the rights and interests of the applicant. 執行申請者向本公司提出之申訴、抱怨之處理，以確保本公司良好聲譽及形象，並維護申請者的權益。
2. **Applicable scope 範圍**
Operational procedures for the appeal and complaint. 申訴、抱怨之處理程序。
3. **Responsibility 權責**
As the operational procedures. 依作業流程。
4. **Definition 定義**
 4. 1 Appeal: If an applicant or a certified client has an opinion about UCS's decision which is unfavorable to its intended certification status, it may file an appeal to UCS. 申訴：申請者或已驗證通過者針對本公司對其所欲之驗證地位的不利決定有意見時，得向本公司提出申訴。
 4. 2 Complaints: Applicants, certified clients, interested parties or any third parties may raise a complaint to UCS when they have opinions on issues related to the certification of UCS (such as the general administrative operations, operational procedures of certification or the behavior of the auditors) or on the behavior of the clients who have passed UCS's certification. 抱怨：申請者、已驗證通過者、利害相關團體或任意第三人，針對本公司驗證相關事宜（如對本公司一般行政作業、驗證作業程序或行政人員、驗證稽核員之言行）或對已驗證通過者的相關行為有意見時，得向本公司提出抱怨。
 4. 3 Applicant: The one who raises the appeal or complaint. 申請者：提出抱怨或申訴者。
5. **Operational procedures 作業流程**
 5. 1 Operational procedures of complaint 抱怨處理程序
 5. 1. 1 Applicants may submit relevant comments or supporting documents to raise a complaint to UCS at any time. 申請者得隨時檢附相關意見或證明文件向本公司提出抱怨。

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5. 1. 2 The applicant shall submit the application to UCS by phone, fax, email, written documents or any other effective means, and inform the name, the name of the organization to which it belongs, the object of the complaint, and the content of the complaint. Anonymous complaints or complaints without reasons or without relevant supporting document attached, UCS will not accept it. 申請者應以電話、傳真、電子郵件、書面或其他有效之方式向本公司提出，同時並告知姓名、所屬之組織名稱、抱怨對象、抱怨內容。匿名抱怨、抱怨未附理由或相關證明者，本公司不予受理。
5. 1. 3 After UCS accepts the complaint, basically the handling of the complaint will be completed within 30 days. The personnel related to the case shall not be the handling personnel and the adjudication personnel to ensure the impartiality. UCS will reply to the applicant with the result of the complaint. 本公司受理抱怨案後，原則上於 30 日內完成抱怨事件之處理，處理人員及裁示人員應排除與該案相關之人員，以確保其公正性，並將抱怨處理結果函覆申請者。

5. 2 Operational procedures of appeal 申訴處理程序

5. 2. 1 The applicant shall file an appeal in writing and submit explanation of the reason and supporting documents to UCS within 30 days from the next day of receipt of the decision result notice or from the next day of the incident occurs (If it's a special case, it will be handled case by case). 申請者應於收受本公司決定結果通知書或事件發生之次日起三十日內，以書面敘明申訴理由，並檢附相關證明文件向本公司提出(若有特殊案件，將依個案處理)。
5. 2. 2 UCS will not accept if the appeal is without reason or without relevant supporting document attached. 申訴未附理由或相關證明文件者，本公司不予受理。
5. 2. 3 After the appeal is accepted, UCS shall notify the applicant and assign investigators to conduct the investigation. The personnel related to the case shall not be the investigators and the adjudication personnel to ensure the impartiality. The applicant may submit a written request to UCS that designation of witnesses want to attend the investigation meeting within three days after receiving notification of acceptance from UCS. 申訴案件受理後，本公司即通知申請者，並指派調查人員辦理調查，該調查人員及裁示人員應排除與該案相關之人員，以確保其公正性。申請者得於收

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受本公司受理通知後三日內，以書面方式向本公司提出指定證人出席調查會議之要求。

- (a) The acceptance personnel of the agricultural products certification appeal and complaint case shall not be the relevant case officer. 農產品驗證申訴抱怨案之受理人員為非該案之相關承辦人員。
- (b) The acceptance personnel submit the case to the Vice general manager, who will assign the investigators to investigate. 受理人員將受理案提交給副總經理，由總經理指派調查人員調查。
- (c) The investigators submit the investigation report to the Vice general manager, who will host the investigation meeting, and submit it to the committee if necessary. 調查人員將調查報告交給總經理，由副總經理主持調查會議，必要時提送防護公正性暨技術管理委員會。

5. 2. 4 After UCS accepts the appeal, basically the investigation will be completed within 30 days. If it's necessary, the processing period may be extended after obtaining the consent of the applicant. 本公司受理申訴案後，原則上於三十日內完成調查，必要時得徵詢申請者同意後延長處理期限。

5. 2. 5 UCS may require the relevant accreditation assessor, applicant or necessary related persons etc. to attend the investigation meeting. If UCS requires the applicant to attend the investigation meeting and the applicant fails to attend without reasonable causes, it will be deemed that the appeal case has been withdrawn. 本公司得要求該案件相關認證評審員或申請者、必要關係人等出席調查會議。本公司要求申請者出席調查會議，申請者無正當理由未出席者，視為撤回申訴案件。

5. 2. 6 After the investigation of the appeal case is completed and decided, Vice general manager will confirm whether the case can be closed or not. If the case is closed, UCS will immediately notify the applicant of the appeal result by e-mail and keep related information archived for reference. If the case is not closed, the follow-up investigation will be proceeded according to the reason given by Vice general manager. 申訴案調查完畢議決後，由副總經理裁示結案與否，若裁示結果為結案，本公司立即將申訴處理結果以電子郵件告知申請者，並將資料保存備查。若裁示結果不結案，則依副總經理裁示之理由執行後續追蹤。

5. 2. 7 During the investigation period of the appeal case, UCS's original decision

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of certification on whether to pass or not, maintenance, extension, temporary suspension, termination, recertification etc. will not be affected by the appeal. However, if it's necessary, UCS may pause the evaluation of the certification. 申訴案件調查期間，本公司原就認證之通過或不通過、維持、增列、暫時終止、終止、重新驗證等所為之決定，其效力不受申訴提出之影響；惟必要時，本公司驗證評鑑作業得暫時停止。

5. 2. 8 If the applicant is unacceptable to the result of the appeal that UCS determined, it may seek a solution through judicial procedures. 申請者對本公司處理申訴案件之結果不能接受時，可循司法程序尋求解決。

6. **Operational content** 作業內容

The applicant fills in the complaint/appeal handling form to file a complaint or appeal to UCS. 申請者填寫抱怨處理單向本公司提出抱怨或申訴。

7. **Related form** 使用表單

7. 1 UCS-F-178 Complaint/Appeal Handling Form 抱怨／申訴處理單