

上海英格尔认证有限公司
Shanghai Ingeer Certification Assessment Co., Ltd.

申诉、投诉、争议处理程序
Appeal, Complaint and Dispute Handling Procedure

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1.0 目的 Objective

为保证上海英格尔认证有限公司（以下简称 ICAS）审定与核查工作的公正性，以顾客为中心，有效地处理申诉、投诉和争议，制订本程序。

In order to ensure the impartiality of the validation/verification activities of Shanghai Ingle Certification Co., LTD. (hereinafter referred to as ICAS), customer-centered and effective handling of complaints, complaints and disputes, this procedure is formulated.

2.0 范围 Scope

本程序适用于与 ICAS 审定与核查服务有关的被审定与核查方、及相关的组织、个人或任何相关方。

These procedures apply to the validated and verified parties, and related organizations, individuals or any related parties in connection with ICAS validation and verification activities.

3.0 定义 Definition

3.1 申诉 Appeals

当被审定与核查组织的审定与核查状态直接受到 ICAS 审定与核查决定影响时作出的不满意正式的书面或口头声明。

A dissatisfied and formal written or oral statement made by the validated and verified organization when their validation and verification status is affected directly by ICAS's decision.

3.2 投诉 Complaints

对 ICAS 的审定与核查服务或人员、ICAS 审定与核查的客户的不满意的正式书面或口头声明。

A dissatisfied and formal written or oral statement to the validation and verification service, staffs, or with ICAS validation and verification clients

3.3 争议 Dispute

被审定与核查组织与 ICAS 在审定与核查程序和审定与核查技术问题方面不同意见的口头或书面的表述。

An oral or written expression with disagreement in the respect of validation and verification process and validation and verification technology between the validated and verified organization and ICAS.

4.0 职责 Responsibility

4.1 最高管理者指定管理委员会负责人作为申诉的管理代表协调和处理申诉。市场部经理作为投诉的管理代表协调处理投诉、决定经理作为争议的管理代表协调和处理争议。

The top management designates the director of management committee as the management representative to coordinate and handle appeal. The marketing manager is the management representative to coordinate and handle complaint. The decision manager is the management representative to coordinate and handle dispute.

4.2 市场部申投诉受理专员负责对申、投诉的接收、确认、跟踪、记录、回复、上报。

The special person of marketing department for dealing with appeals and complaints is responsible for the acceptance, confirmation, following-up, record, replying and submission of appeals and complaints.

4.3 与申投诉无利益关系的各主管人员负责协助调查申投诉：

Other supervisors, who have no interest relationship with appeals and complaints, are responsible for assisting with the investigation of appeals and complaints.

- 1) 市场部经理负责有关审定/核查业务受理过程中的申投诉；

Marketing manager is responsible for appeals and complaints during the handling process of validation/verification business.

- 2) 审核经理负责有关审定与核查非现场的申投诉；

Audit manager is responsible for off-site appeals and complaints about the validation/verification.

- 3) 审定/核查组长负责审定与核查现场的申投诉；

Validation/verification team leader is responsible for on-site appeals and complaints about the validation/verification.

- 4) 人员管理专员负责对审定员/核查员的投诉；

Personnel management specialist is responsible for complaints about validator/verifier.

- 5) 注册部经理负责有关审定与核查独立复核及决定过程的申投诉；

The manager of Registration Department is responsible for appeals and complaints in the independent review and decision process.

- 6) 管代负责有关管理层的申投诉。

Management representative is responsible for complaints about management team.

4.4 品管部对整个申投诉处理过程进行监督和抽查；

The Quality Control Department supervises and spot checks the whole handling process of appeals and complaints.

4.5 管理者代表负责确保所有改进项得到有效纠正和实施；

Management representative is responsible for ensuring that all the improvements are effectively corrected and implemented.

4.6 行政人事部、技术资源部为处理申诉、投诉和争议提供所需的资源：包括人员、培训、程序、文件、专家支持、资金等。

Administration and Personnel Department and Technical Resources Department provides necessary resources for handling appeals, complaints and disputes: including personnel, training, procedure, document, expert supporting, finance, etc..

5.0 申诉处理程序的运作 The operation of appeals handling procedure**5.1 任何对于争议的处理持有不同意见的 ICAS 的客户，可以向 ICAS 提出申诉，申诉途径可在 ICAS 发出的审定/核查计划中获取。**

Any ICAS customer with disagreement about the handling of disputes can appeal to ICAS. The approach of appeals and complaints can be obtained in the validation/verification plan issued by ICAS.

5.2 市场部申投诉受理专员负责受理申诉，在收到申诉的当日向申诉人确认收到，并将申诉上报管理委员会负责人。

The commissioners of marketing department are responsible for accepting appeals. They acknowledge receipt to claimants at the day they receive the appeal, and report it to the director of the management committee.

5.3 管理委员会负责人会同相关人员，对申诉进行调查、核实，听取双方的意见，以及参考以前类似申诉的结果，作出有依据的裁定和决定采用何种措施以回应申诉。

The director of the management committee, together with relevant personnel, shall investigate and verify the appeal, listen to both suggestions, refer to previous similar results, give evidence-based adjudication and decide how to respond.

5.4 申投诉受理专员应向申诉人提供结果，及适用时，提供进展报告，并在收到申诉裁定后通知申诉人和相关应采取纠正的人员。

The complaint intake officer shall provide the complainant with the results, and if applicable, a progress report and notify the grievant and relevant person who should take correction after receiving

the adjudication decision.

5.5 申诉处理过程描述应向任何相关方公开。

A description of the process for handling complaints shall be available to any interested party.

5.6 收到投诉后， ICAS 应确认投诉是否与其审定/核查活动有关， 如果有关， 则应解决投诉。
Upon receipt of a complaint, ICAS shall confirm whether the complaint relates to its validation/verification activities and, if so, shall resolve the complaint.

5.7 ICAS 应对申诉处理过程中的所有决定负责。

ICAS shall be responsible for all decisions during the process for handling appeals.

5.8 申诉裁决应纠正的人员， 应在接到申诉结果的当日， 立即按裁决的要求采取必要的措施纠正。

Appealed corrective personnel should adopt corrections according to the adjudication demand at the day of receiving appeal result.

5.9 如对申诉的裁定仍不满意， 可以向 ICAS 最高管理者和认可委或其他相关部门提出申诉。 相关人员应当书面告知申请组织上述信息。

If the grievant still dissatisfy with the adjudication, he/she can appeal to the ICAS top management, CNAS or other relevant departments. Relevant personnel should inform the applicant organization of the information in written the above information.

若认为 ICAS 未遵守认证相关法律法规或审定/核查规则并导致自身合法权益受到严重侵害的， 可以直接向所在地（国家）认证监管部门或国家认监委投诉， 也可以向相关认可机构投诉。

If you think that ICAS has broken related laws & regulations or rules for validation/verification, thus leading serious infringement to your legitimate interest, you can appeal to certification supervision department or Certification and Accreditation Administration of the People's Republic of China (CNCA) and to relevant accreditation bodies.

5.10 所有参与申诉处理过程的人员应没有实施申诉涉及的审定/核查活动， 也没有做出申诉涉及的审定/核查决定， 申诉的决定应由与申诉无关的人员做出， 或经其审查和批准。

All personnel involved in the grievance process shall not have performed the validation/verification activity to which the grievance relates or made the validation/verification decision to which the grievance relates, and the decision on the grievance shall be made by, or reviewed and approved by, a person unrelated to the grievance.

5.11 申诉处理过程不宜超过 30 个工作日（特殊情况下最长不超过 60 日）， 将处理结果形成书面通知送交申诉人。 调查和决定不应造成针对申诉人的任何歧视行为。

The appeal handling process should be in 30 workdays (it cannot exceed 60 workdays under special situation), the treated result shall send to claimant with a written notice. Investigation and decision should not cause any discrimination against the grievant.

5.12 申投诉受理人员应记录整个申诉的处理过程，并应保存所有与申诉有关材料。申诉处理过程至少应包括下列内容：

Complaints should be recorded throughout the complaint handling process, and all materials related to the complaint should be kept. The process for handling appeals shall include at least the following:

a) 对接受、调查、证实申诉以及决定采取何种行动的过程的描述；

A description of the process for receiving, investigating, substantiating the appeal, and deciding what actions are to be taken in response;

b) 跟踪和记录申诉，包括解决申诉的行动；

Tracking and recording the appeal, including the actions to resolve it;

c) 确保采取适当的行动

Ensure appropriate action is taken.

6.0 投诉处理程序的运作 The operation of complaints handling procedure

6.1 投诉的受理 Receiving the Complaint

6.1.1 ICAS 市场部申投诉受理专员负责受理投诉，投诉电话 021-51114700 转申投诉受理专员分机，或传真 021-54253541，或 icasfile@126.com。

The commissioners for appeals and complaints in the marketing department of ICAS are responsible for accepting complaints. Complaints hotline No. is 021-51114700 transfer to handling commissioners for appeals and complaints, the fax No. is 021-54253541 or the email address is icasfile@126.com.

6.1.2 投诉可以是口头或书面的。投诉人可向受理专员口述事件细节，或提供《申诉、投诉、争议处理单》（VFP0401A）及必要的证明材料，和反馈的联系方式。投诉途径可在 ICAS 发出的审定/核查计划中获取。

Complaints can be oral or written. Complainant can dictate the handling specialist details, or provide "Appeal, complaint, dispute handling sheet" (VFP0401A), necessary certification materials and feedback contacts. The approach of appeals and complaints can be obtained in the validation/verification plan issued by ICAS.

6.2 投诉的确认 Substantiating the complaint

投诉受理专员在接到投诉后的当日，应立即向投诉者进行确认（例如电话、电子邮件等方式），并负责收集所有必要的信息，以确定投诉是否属实。

Complaints commissioners should confirm the complaint at the day they receive the complaint (such as in phone, email, etc.), and gather all necessary information to determine whether the complaint is substantiated.

6.3 原始投诉的评估 The assessment of original complaints

6.3.1 投诉受理专员接到投诉的当日，将投诉报市场部经理，对原始投诉进行评估，根据每项投诉的严重性、隐含的安全性、复杂性、影响力，来确认是否应对重要影响的投诉立即通报最高管理者，或根据投诉的紧迫性迅速采取行动。

Complaints commissioners should report to the marketing manager at the day they receive the complaint. They should assess the original complaints and verify whether they should report the important complaints to the top manager according to the seriousness, potential security, complexity and influence of the complaint, or take actions immediately according to the complaint urgency.

6.3.2 投诉受理专员将所有收到的投诉登录到《客户投诉列表》（VFP0402A），并形成原始投诉材料：包括《申诉、投诉、争议处理单》（VFP0401A）、投诉者所附相关证明文件等。

Complaints commissioners should register the received complaints to "List of Customer Complaints" (VFP0402A) and form original complaint materials: including "Appeal, complaint, dispute handling sheet" (VFP0401A), relevant proof documents provided by complainants and so on.

6.3.3 《申诉、投诉、争议处理单》（VFP0401A）拷贝给品管部主管，以便其对整改过程的进度和质量进行监控。

"Appeal, complaint, dispute handling sheet" (VFP0401A) is copied to the Quality Control Department manager in order to monitor the progress and quality of the rectification.

6.4 投诉的调查 Complaints Investigation

6.4.1 投诉受理专员最迟于收到投诉的 2 天内，将投诉通知到被投诉人、协助处理投诉主管。The Commissioner for Complaint Reception notifies the complaint to the person against whom the complaint has been filed, the supervisor assisting in the handling of the complaint, at the latest within 2 days of receipt of the complaint.

6.4.2 协助处理投诉的主管应遵循事实和证据的原则，迅速地对投诉进行公平、公正调查，但也必须允许被投诉人进行解释和澄清，并最迟于 5 天将调查的情况反馈到投诉受理专员。

The complaint assistance supervisor should comply with the fact and evidence, and carry out fair and impartial investigation of the complaint immediately. However, the Respondent must also be allowed to provide explanations and clarifications, and to provide feedback on the investigation to the Complaint Receiving Commissioner no later than five days.

6.4.3 在投诉调查期间，必要时，投诉受理专员负责就相关需再次和投诉者澄清或询问的事情进行沟通，并将投诉的进展告知投诉者。

If necessary, complaints commissioners are responsible for communicating something needed clarify or inquiry to complainant again, and they should inform complainant of the process during the investigation period.

6.4.4 对于审定/核查客户的投诉，ICAS 应考虑投诉的情况对获证客户审定/核查结果有效性的影响，必要时采取相应的行动，如对被投诉方进行非例行的审定/核查等。

As for the validation/verification customers' complaint, ICAS should consider the influence on the effectiveness of customers' validation/verification results who has already received certificate. If necessary, they should take according actions, such as non-routine validation/verification to the respondent and so on.

6.5 投诉的结论 Conclusion of Complaint

投诉受理专员在接到调查反馈的当日将调查相关过程和结果报市场部经理，市场部经理需联合参与调查的相关人员，根据调查的结果 2 天内对投诉作出结论。（必要时，如影响重大的投诉等，还需上报管委会负责人或总经理，由其参与决定），结论至少需明确以下：

Complaints commissioners should report the investigation process and results to the marketing manager at the day. They receive the investigation feedback. The marketing manager should cooperate with relevant personnel, make a conclusion according to the investigation result in two days. (If necessary, for example a significant complaints should be reported to the director of management committee or the general manager who should participate in the decision then), the results should at least be specified as follows:

- (1) 责任归属，及相关责任事实；

Responsibility ownership and relevant responsibility facts;

- (2) 应采取的投诉处理方案；

Complaint handling schemes which should be taken;

- (3) 明确的及隐含的改进项，包括个人、部门、甚至是系统上的；

The explicit and implicit improvement, including individuals, departments and even systems;

- (4) 下达相关人员对不符合限期纠正的通知；

The notice issued the correction of incongruent deadline to relevant personnel;

- (5) 如果结论表明：投诉的事实已经影响到了审定/核查客户审定/核查结果有效性时，ICAS 应考虑对审定/核查陈述作相应的处理，如撤销等。

If the results show that the complaint fact has already influence on the effectiveness of the validated/verificated customers' validation/verification results, ICAS should consider a corresponding treatment of the validation/verification statement, such as withdraw, etc.

6.6 回复投诉和通知处理意见 Handing suggestions of reply complaints and notice

6.6.1 投诉受理专员在收到结论当日回复投诉者：

Complaints commissioners should reply the complainant at the day they receive the complaint results.

- (1) 向投诉方提供结果，适用时可提供进展报告。

Provide the complainant with the outcome and, if applicable, progress reports

- (2) 如果达成一致，应立即通知相关人员执行该处理方案，投诉受理专员应收集证明投诉处理方案有效执行的证据，并汇总入整个投诉材料。

If they come to an agreement, the commissioners should inform relevant personnel to carry out this scheme. They should collect the effective evidence to the complaint and then gather into the whole complaint data.

- (3) 如果投诉者对投诉方案不满意，此投诉将继续，投诉受理专员应立即上报市场部经理。ICAS 应充分考虑客户的诉求，在条件允许的情况下，尽可能调整投诉处理方案以达成共识，并应同时明确告知客户如仍不满意可继续选择内部和外部的投诉渠道。

If the complainant is dissatisfied with the complaint scheme, this complaint shall be continual, and the commissioners should report immediately to the marketing manager. In order to come to an agreement, ICAS should consider the customer's appeals fully and try to adjust the complaint scheme under the permitting conditions. At the same time, ICAS should also clearly inform the customers that they can continually choose internal or external complaint channel if they are still dissatisfied:

a) ICAS 内部投诉渠道

ICAS external complaint channel

◆ 最高管理者

The top management

◆ 管委会负责人

The director of the management committee

◆ 顾委会负责人

The director of the consultative committee

b) ICAS 外部投诉渠道

ICAS external complaint channel:

◆ 国家认监委 认可监管部

CNAS accreditation supervision department

◆ 国家认可委 CNCA

◆ 国外相关的认可机构

Foreign related accreditation bodies

投诉者需要时，以上各渠道的联系方式由投诉受理专员提供。

The contacts above can be provided by the complaint commissioners, if necessary.

6.6.2 投诉受理专员于收到结论的当日将结论中所涉及的整改项通知相关人员（如被投诉人、相关主管等），并传达限期纠正的通知。

The complaint commissioners should inform the relevant personnel (such as the respondent, relevant manager and so on) of rectification items related to the result at the day they receive the result.

6.7 结束投诉 End of complaints

投诉受理专员应至少确认以下事情后，方可结束某项投诉：

The complaint only can be finished until at least the complaint commissioners ascertain these as follows:

- (1) 投诉者对投诉处理的过程（至少应包括：对接受、证实、调查投诉以及决定采取任何行动过程的描述；跟踪和记录投诉，包括解决投诉的行动；确保采取适当的行动）和投诉处理方案实施的结果已经满意。

The complainant has been satisfied with the complaint handling process (include at least the following : a description of the process for receiving, substantiating, investigating the complaint, and deciding what actions are to be taken in response; tracking and recording the complaint, including the actions undertaken to resolve it; ensuring appropriate action is taken) and the result of the complaint handling scheme.

- (2) 所有改进项，均已提交了有效的纠正和预防措施，并经管代确认纠正有效。

All improvements have been submitted effectively corrective and preventive actions and confirmed by the management representative.

- (3) 处理投诉的相关过程得到了充分的记录、与投诉有关的材料和证据（如投诉人提供的证明材料、调查中收集的证明材料、投诉处理方案有效执行的证据、纠正预防措施、培训记录等）进行了完整的保留，可供追溯、抽查及验证。

All the processes related to complaints have been recorded fully, all the materials and evidence (such as certification materials from complainants and investigations, evidence of the effective implementation to the complaint schemes, corrective and preventive actions, training records, etc.) have been kept completely and can be traced, random checked and verified.

- (4) 与投诉有关材料报备一份给管代。

Materials related to complaints should be copied and submitted to the management representative.

一般情况下，投诉的整个处理过程不宜超过 20 个工作日。

Generally, the whole complaint handling process should not exceed 20 workdays.

6.8 维护和改善 Maintenance and improvement

6.8.1 对处理投诉过程的监督 Supervision of the complaint handling process

监控部按本程序要求对投诉处理过程进行监控，如投诉处理的及时性、记录的完整可追溯性、纠正措施是否有效实施、必要的培训是否完成等。

Supervision department should monitor the complaint handling process according to the requirement of this procedure, such as the timeliness of complaint handling, the integrity and traceability of records, the effective implementation of correction, the necessary training finished whether or not, etc..

6.8.2 持续改进 Continual improvement

- (1) 管代应对所有的投诉进行分类，以确定此投诉是反复还是偶发问题，消除任何导致投诉发生的现存和潜在的原因。

The management representative should classify all the complaints, in order to ensure whether these complaints are repetitive or occasional, and to eliminate the existing and potential reasons that might lead to the occurrence of complaints.

- (2) 通过实施有效的纠正和预防措施，防止投诉的反复发生。

Carry out effective corrective and preventive actions to prevent the repeating occurrence of

complaints.

- (3) 将各项投诉作为下次内审的输入，以便重点关注。

All the complaints should be focuses as inputs for the next internal audit.

- (4) 定期评估该程序，以确保其有效性及高效性地持续改进。

Regularly assess this procedure to ensure the effectiveness of continual improvement.

6.8.3 投诉的报告制度 Reporting system of complaints

投诉受理专员应将所有投诉的处理情况，定期汇报总经理：

The complaint commissioners should report all the complaints handling situation to the general manager regularly:

- (1) 对于评估为重大影响的投诉，收到投诉的第一时间立即上报，并及时汇报进展情况；

As for significant complaints, the commissioners should report to the general manager the first time and report the progress timely.

- (2) 其他投诉，采用月报的方式上报。

Other complaints should be reported by the commissioners monthly.

6.9 公正性和保密 Impartiality and confidentiality

- (1) 处理投诉应遵循公平、公正、公开、合理的原则。

Handling complaints should follow a fair, public and reasonable principle.

- (2) 对于投诉者来说整个处理投诉的过程是免费的。

The entire process of the complaint is free for complainants.

(3) 与投诉有直接关系的人员，应回避该项投诉的处理工作，投诉的决定应由投诉事项无关的人员做出，或经其审查和批准。资源不允许的情况下，任何替代方法都不能有损公正性。 Personnel related directly to the complaint should avoid the handling work. The complaint decision should be made by personnel irrelevant to the complaint, or be reviewed and approved. Where resources do not permit this, any alternative approach shall not compromise impartiality.

(4) 为了确保投诉人私人信息保密性，参与处理投诉的人员对其所涉及到的任何与投诉有关的非公开情况负有保密责任。除非得到消费者或投诉人的同意，否则其个人信息只有在机构进行处理投诉时才能使用。 ICAS 应与客户及投诉人共同决定是否应将投诉事项公开，并在决定公开时，共同确定公开的程度。

To ensure the confidentiality of the complainants' personal information, all personnel participating in

the complaint should take responsibility for the confidentiality of non-public information related to the complaint. The personal information can be only available when handling the complaint. Otherwise, they are approved by customers or complainants. ICAS should codetermine with customers and complainants whether the complaints should be disclosed and decide the openness jointly at the time of open.

(5) 对投诉的调查和解决不得导致任何歧视性行动。

Investigation and resolution of complaints shall not result in any discriminatory actions.

7.0 争议 Dispute

7.1 申请组织或被申请组织如对 ICAS 审定/核查程序或审定/核查技术问题产生争议时均可向 ICAS 品管部提出。

Disputes on ICAS validation/verification procedures or validation/verification technical issues can be raised with the ICAS Quality Control Department by either the applicant or the applicant organization:

7.2 审定/核查现场发生争议时，审定组长/核查组长应尽可能依据审定/核查准则、审定/核查引用文件协商处理。对经协商仍不能取得一致意见的，审定组长/核查组长有权先行决定，并记录争议双方的所有意见。客户可以根据本程序向 ICAS 总经理提出申诉。

The validation/verification team leader should try to handle it through consultation according to validation/verification principles and validation/verification references, when the dispute occurs in the on-site validation/verification. As for the disagreements, the validation/verification team leader is entitled to decide in advance and record two sides' opinions. The customers can propose the appeal to the managing director of ICAS according to this procedure.

7.3 不在审定/核查现场提出的争议，应以书面形式向 ICAS 品管部提出。涉及审定/核查的争议，品管部交审核经理，由审核经理负责组织相关人员研究，审核部经理应将研究结果通知争议提出人；涉及决定的争议，由注册部经理组织相关的人员研究，并将研究结果通知争议提出人。争议提出人对处理结果仍不满意的话，可以依据本程序向 ICAS 提出申诉。

The off-site validation/verification team dispute shall be proposed to ICAS Quality Control Department in written. If the dispute involves validation/verification, the Quality Control Department shall hand over it to the audit manager. The audit manager is in charge of organizing related personnel to research and inform the controversial participant of the results. If the dispute involves decision, the registration manager is in charge of organizing related personnel to research and inform the controversial participant of the results. If the controversial participant is still dissatisfied with the handling results, he/she can propose the appeal to ICAS.

8.0 相关记录 Related Records

- 《申诉、投诉、争议处理单》（VFP0401A）
"Appeal, complaint, dispute handling sheet"
- 《客户投诉列表》（VFP0402A）
"List of Customer Complaints"