

	国恒认证检测（广东）有限公司 G-Eternal Certification & Inspection(GuangDong) Co.,Ltd	编号 Doc.No.: GEC-MP-08 更新日期: Update Date: 2023/6/1
	客户申、投诉和争议处理程序 Appeals, Complaints and Dispute Handling Management Procedure	版本/次: Version/Edition: A/3

程序文件

Procedure Document

受控状态：受控 ☒ 非受控 ☐

Controlled condition:

受控文件 

编制：技委会 Prepared by: Technical Committee

审核：胡良辉 Reviewed by: Andrew Hu

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本文件依 ISO/IEC17021-1:2015 《合格评定 管理体系审核与认证机构的要求 第 1 部分：要求》

(CNAS-CC01:2015) 及 IAS、国家认监委、认可委有关的认证认可规则、指南及综合公司实际编制

This document is prepared in accordance with *ISO/IEC 17021-1:2015 Conformity assessment —*

Requirements for bodies providing audit and certification of management systems — Part 1: Requirements

(*CNAS-CC01:2015*) and the relevant certification and accreditation rules and guidelines of the IAS、CNCA、CNAS and GEC'S operation regulations.

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文件修改历史记录

Revising C.V.

版本 Version	修改章节 Modified chapter	修改日期 Modified date	修改内容 Modified content	批准人 Approver	批准/发布日期 Approval/release date	实施日期 Implementation date
A/0	--	--	初始文件 Initial issuing	马玉华 Cindy Ma	2018/10/25	2018/11/1
A/1	全文 All	2020/4/3	ISO45001:2018 改版升级及 编码等相关细节修订 Revision upon ISO45001:2018 upgrading & document numbering principle change	马玉华 Cindy Ma	2020/4/3	2020/4/3
A/2	全文 All	2021/6/1	公司管审完成后, 适应新的 管理要求 Revision to fulfill the new requirements of management review from the CNCA	马玉华 Cindy Ma	2021/6/1	2021/6/1
A/3	全文 All	2023/6/1	依 IAS 评审要求英译 English translation by IAS accreditation requirement	马玉华 Cindy Ma	2023/6/1	2023/6/1

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1. 目的 Objective

公司通过受理申/投诉和争议，发现潜在的不符合，采取纠正/预防措施，改进工作，增强顾客满意，维护认证的公正性和严肃性。

The company accepts applications/complaints and disputes, finds potential nonconformity, takes corrective/preventive measures, improves work, enhances customer satisfaction, and maintains the impartiality and seriousness of certification.

2. 适用范围 Appropriate Scope

本程序适用于与公司管理体系认证活动有关的申诉/投诉和争议的处理。

This procedure applies to the handling of complaints/complaints and disputes related to the company's management system certification activities.

3. 权责 Responsibility

3.1 行政部/客服部：将公司《GEC-PD-01~05 公开文件》提供给申请方和获证客户（或告知其网站查询下载文件、表单），使其清楚了解公司关于申/投诉和争议的处理方法与处理过程。

3.1 Administration Department/ Client Service Department: Provide the Company's "GEC-PD-01-05 Public Documents" to the applicant and the certified customers (or inform their website to query and download documents and forms), so that they can clearly understand the Company's handling methods and processes for applications/complaints and disputes.

3.2 客服部：负责申/投诉的登记、受理、评价、调查和记录工作。

3.2 Client Service Department: Responsible for registration, acceptance, evaluation, investigation and record of application/complaint.

3.3 审核部：负责争议处理、受理、评价、调查和记录工作。

3.3 Audit Department: Responsible for dispute handling, acceptance, evaluation, investigation and record.

3.4 技委会：组织各部门就重大申/投诉进行评议。

3.4 Technical Committee: Organize various departments to evaluate major applications/complaints.

3.5 管理者代表：重大申/投诉组织调查处理。

3.5 Management representative: Organize investigation and handling of major applications/complaints.

3.6 总经理：对重大申/投诉处理意见进行批准。

3.6 General Manager: Approve major application/complaint handling opinions.

3.7 各部门：客户申/投诉和争议为公司责任时，实施纠正预防措施改进。

3.7 All departments: When customer claims/complaints and disputes are the responsibility of the company, implement corrective and preventive measures for improvement.

4. 定义 Definition

参考和引用《GB/T19000-2016》和《CC01》的所有涉及内容

Refer to and cite all relevant contents of GB/T19000-2016 and CC01

5. 管理流程 Management process

5.1 申诉 Appeal

5.1.1 申诉的范围：

5.1.1 Scope of complaint:

1) 对公司所作出的审核结论不满；

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- 1) Dissatisfied with the audit conclusion made by the company;
- 2) 对公司不予认证注册不满;
- 2) Dissatisfaction with the company's non-certification and registration;
- 3) 对公司暂停/撤销其认证资格不满;
- 3) Dissatisfaction with the company's suspension/ withdrawing of its certification qualification;
- 4) 其他原因。
- 4) Other reasons.
5. 1. 2 申诉的处理程序，受审核方或获证客户在接到公司的决定或措施通知后，应在 30 日内向公司提出申诉。注：申诉应以书面文件形式提出，并且由申诉人签字或盖章。对于口头或匿名申诉，可作为无效申诉不予处理。
- 5.1.2 Complaint handling procedure: The auditee or the certified customer shall, upon receiving the notice of the Company's decision or measure, submit a complaint to the Company within 30 days. Note: The complaint should be made in writing and signed or sealed by the complainant. Oral or anonymous complaints may be dismissed as invalid.
5. 1. 3 客服部收到申诉材料后，填写《GEC-08-01 客户申/投诉和争议处理单》，一般申诉由客服部负责调查处理。重大申诉由客服部报管理者代表后决定负责组成工作组依《GEC-MR-15 申诉调查小组工作规则跨部门调查处理》进行。
- 5.1.3 After receiving the appeal materials, the Client Service Department shall fill in the **GEC-08-01 Appeals, Complaints and Dispute Record**. The Client Service Department shall be responsible for the investigation and handling of general appeals. The administrative department shall report major complaints to the management representative and decide to form a working group for inter-departmental investigation and handling in accordance with the **GEC-MR-15 Appeal / Complaint Investigation Team Operation Regulations**.
5. 1. 4 客服部或工作组对申诉情况进行调查、确认、分析、取证：
- 5.1.4 The Client Service department or the working group shall investigate, confirm, analyze and obtain evidence of the complaint:
- 1) 要求申诉方与被申诉方均应提供充分的事实证据和书面材料；
- 1) Both the complainant and the respondent are required to provide sufficient factual evidence and written materials;
- 2) 工作组应安排申诉方与被申诉方代表充分陈述理由；
- 2) The Working Group shall arrange for the representatives of the complainant and the complainant to fully state their reasons;
- 3) 对申诉理由和事实进行调查、确认、分析和取证。
- 3) Investigate, confirm, analyze and obtain evidence for the reasons and facts of the complaint.
- 4) 提出回应申诉的相关措施，即处理意见或结论。
- 4) Put forward relevant measures to respond to the complaint, that is, processing opinions or conclusions.
5. 1. 5 客服部或工作组经过调查、确认、分析和取证结果以及处理意见或结论，向审核部提交《GEC-08-01 客户申/投诉和争议处理单》。
- 5.1.5 The Client Service department or the working group shall submit the **GEC-08-01 Appeals, Complaints and Dispute Record** to the Audit Department after investigation, confirmation, analysis and evidence collection results and processing opinions or conclusions.
5. 1. 6 审核部召集会议，审定处理结果，必要时可以参考以前类似申诉的结果。
- 5.1.6 The audit Department shall convene a meeting to review and approve the processing results, and refer to the

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results of previous similar appeals if necessary.

5.1.7 申诉理由成立，属公司责任，转公司管理者代表按照有关规定，组织相关部门分析原因，采取纠正预防措施，形成文件并验证其有效性；如需对受审核方或获证客户管理体系验证时，由审核部按照认证程序中的临时审核要求实施验证。

5.1.7 If the reason for the appeal is established, it is the responsibility of the Company. The management representative of the transfer company shall organize relevant departments to analyze the reasons, take corrective and preventive measures, form documents and verify their effectiveness in accordance with relevant regulations; If it is necessary to verify the management system of the auditee or the certified customer, the audit department shall carry out the verification in accordance with the temporary audit requirements in the certification procedure.

5.1.8 申诉中的问题不属于公司的责任，但与公司认证审核工作有关，审核部应举一反三，采取适当的改进措施。

5.1.8 The problem in the appeal does not belong to the company's responsibility, but is related to the company's certification and audit work. The audit department should draw inferences from one example and take appropriate improvement measures.

5.1.9 申诉理由成立，申诉调查处理费用及复审费用由公司承担。申诉理由不成立，由申诉方负担费用。

5.1.9 If the reason for the appeal is established, the Company shall bear the cost of the investigation and processing of the appeal and the cost of the review. If the reason for appeal is not established, the complainant shall bear the cost.

5.1.10 申诉的确认和调查处理进展情况和最终处理结果，由行政部将《GEC-08-01 客户申/投诉和争议处理单》送交申诉方。最终处理结果自正式受理申诉，最迟不超过6个月。

5.1.10 The administrative department shall send the "GEC-08-01 Appeals, Complaints and Dispute Record" to the complainant for the confirmation, investigation and processing progress and final processing results of the appeal. The final result shall be no more than 6 months after the formal acceptance of the appeal.

5.1.11 申诉方对申诉处理结果有异议时，可再次向公司总经理申诉，也可向国家认可机构上诉。

5.1.11 If the complainant has any objection to the appeal processing result, it may appeal to the general manager of the company again or to the national accreditation body.

5.2 投诉 Complaint

5.2.1 出现下列情况，任何单位或个人均有权向本公司投诉：

5.2.1 Any unit or individual has the right to complain to the Company if:

1) 获证方管理体系不符合认证要求；

1) the certificatee's management system does not meet the certification requirements;

2) 获证方滥用认证证书和标志；

2) the certificated party misuses the certification certificate and mark;

3) 获证方的产品（服务）质量/环境/安全方面发生重大问题；

3) Major problems occur in product (service) quality/environment/safety of the certified party;

4) 本公司有关部门或工作人员违反认证工作有关程序规定。

4) The relevant departments or staff of the company violate the relevant procedures and regulations of certification work.

5) 其他原因。

5) Other reasons.

5.2.2 投诉者应采取书面形式，填写《GEC-08-01 客户申/投诉和争议处理单》并附证据及投诉方姓名、联系方式（单位主体应加盖公章）。口头举报或来人反映，应提供所投诉事件的具体细节、证明材料和投诉

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人姓名，公司客服部做好记录。对匿名投诉不予受理。

5.2.2 The complainant shall fill in the "**GEC-08-01 Appeals, Complaints and Dispute Record**" in written form and attach the evidence, name and contact information of the complainant (the entity shall stamp the official seal). For oral report or feedback, the specific details of the complaint, proof materials and the name of the complainant should be provided, and the Client Service department of the company should make records. Anonymous complaints will not be accepted.

5.2.3 投诉的受理、确认和调查

5.2.3 Acceptance, confirmation and investigation of complaints

5.2.3.1 接到投诉时，客服部确认是否与认证活动有关，经确认有关时予以处理。如果是针对获证客户的客户的投诉，应考虑其管理体系的有效性，必要时转由审核部组织进行临时审核，并在适当的时候告知获证组织的客户。

5.2.3.1 Upon receipt of a complaint, the Client Service department shall confirm whether it is related to the certification activity and deal with it if it is confirmed to be related. If the complaint is against the customer of the certified customer, the effectiveness of the management system shall be considered, and the audit Department shall organize a temporary audit if necessary, and inform the customer of the certified customer at the appropriate time.

5.2.3.2 对投诉的受理、确认和调查程序，按照本程序 5.1.1—5.1.10 条款要求。

5.2.3.2 The acceptance, confirmation and investigation procedures of complaints shall be in accordance with the requirements of clauses 5.1.1 -- 5.1.10 of this procedure.

5.2.4 投诉的处理

5.2.4 Handling of complaints

5.2.4.1 对获证客户的投诉内容属实时：

5.2.4.1 If the complaint to the certified customer is true:

1) 调查人员移交《**GEC-08-01 客户申/投诉和争议处理单**》，递交获证方管理者代表签字确认，并要求限期采取纠正措施报本公司验证；

1) The investigator shall hand over the "**GEC-08-01 Appeals, Complaints and Dispute Record**" and submit it to the management representative of the certified party for signature and confirmation, and require the Company to take corrective measures within a time limit for verification;

2) 审核部将不符合列入监督检查主要内容，对其纠正措施的实施情况现场验证其效果，必要时，增加监督审核频次；

2) The audit department shall include the nonconformity in the main contents of supervision and inspection, verify the effect of the implementation of its corrective measures on the spot, and increase the frequency of supervision and audit if necessary;

3) 获证方若对投诉不采取纠正和纠正措施的，公司可视严重程度暂停该获证方认证资格，暂停按《**GEC-MP-07 授予、保持、更新、暂停、撤销、变更（含特殊临时审核）、恢复认证程序**》中有关条款执行；

3) If the certificatee fails to take corrective and corrective measures against the complaint, the Company may suspend the certification qualification of the certificatee according to the severity, and suspend the execution of the relevant provisions in **GEC-MP-07 Granting, Maintaining, Renewing, Suspending, Withdrawing, Changing (Including Special temporary Audit), Restoring Certification Management Procedure**

4) 投诉为属于公司工作人员不公正、泄密、泄密、受贿等违规情节，客服部一经查实将报公司管理层对有关责任人员进行处分、解聘，直至追究其法律责任；

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4) If the complaint belongs to the violation of the company's staff, such as injustice, divulging, divulging, bribery and so on, the Client Service department will punish and dismiss the responsible personnel once verified, and even investigate the legal liability;

5) 不属于公司责任, 但与公司认证审核工作有关, 应举一反三, 采取适当的改进措施。

5) It does not belong to the company's responsibility, but it is related to the company's certification and audit work. It should draw inferences from one example and take appropriate improvement measures.

5.2.4.2 投诉内容不属实, 调查的费用由公司负担, 投诉内容属实, 调查费用由被指控方负担。

5.2.4.2 If the complaint is untrue, the Company shall bear the investigation expenses; if the complaint is true, the investigation expenses shall be borne by the accused party.

5.2.5 无论投诉内容属实与否, 客服部都应在 15 个工作日内将处理结果书面通知投诉方。

5.2.5 Whether the complaint is true or not, the Client Service department shall notify the complainer of the handling result in writing within 15 working days.

5.2.6 投诉方或被投诉方对公司的处理仍有异议, 可向公司总经理提起申诉, 也可向国家认可机构上诉。

5.2.6 If the complainant or the complained party still has objections to the Company's handling, it may appeal to the general manager of the company or to the national accreditation body.

5.3 争议 Dispute

5.3.1 争议的提出和处理

5.3.1 Dispute presentation and settlement

5.3.1.1 在认证审核过程中提出的争议, 由审核组长与受审核方依据认证标准、审核依据协商处理。对经协商仍不能取得一致意见的, 审核组长有权先行决定, 并在审核报告中予以说明。受审核方也可以向公司审核部提出争议。

5.3.1.1 Disputes raised in the process of certification and audit shall be handled by the audit team leader and the auditee according to the certification standards and audit basis. If no consensus can be reached after consultation, the audit team leader has the right to make a decision in advance and explain it in the audit report. The auditee may also submit a dispute to the audit Department of the Company.

5.3.1.2 不在审核现场提出的争议, 应以书面形式向公司提出, 审核部主管指定有关人员研究。必要时, 报公司技术总监研究做出处理决定。审核部将决定通知争议提出人。争议提出人对处理结果仍不满意的, 可以通过申诉程序向公司总经理提出申诉。

5.3.1.2 Any dispute raised outside the audit site shall be submitted to the Company in writing, and the supervisor of the audit Department shall designate relevant personnel to study it. If necessary, report to the technical director of the company to make a decision. The Audit Department will notify the dispute originator of the decision. If the dispute originator is still not satisfied with the settlement result, he may appeal to the general manager of the company through the appeal procedure.

6. 约束规则 Constraint Rule

6.1 公司将以公正、非歧视且严谨的方式受理、评价、调查和处理申/投诉和争议, 并对处理过程中的所有决定负责。申/投诉和争议的决定由与申/投诉和争议无关的人员做出, 或经其审查和批准, 告知申/投诉人。参与申/投诉和争议处理工作的所有工作人员, 均应保持客观公正。

6.1 The Company will accept, evaluate, investigate and handle claims/complaints and disputes in a fair, non-discriminatory and rigorous manner, and shall be responsible for all decisions in the process of handling. Decisions on claims/complaints and disputes are made by, or reviewed and approved by, persons not involved in the claims/complaints and disputes and informed of the claims/complainants. All staff involved in handling claims/complaints and disputes should be objective and impartial.

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6.2 申/投诉处理工作人员对所涉及到的任何与申/投诉有关的非公开情况负有保密的责任。

6.2 The application/complaint handling staff is responsible for keeping confidential any non-public information related to the application/complaint involved.

6.3 公司参与申/投诉调查处理的人员，应与申/投诉组织无任何直接或间接关系，在两年内未向申/投诉组织提供过咨询、培训活动。

6.3 The personnel of the Company involved in the application/complaint investigation and handling shall have no direct or indirect relationship with the application/complaint organization, and have not provided consulting and training activities to the application/complaint organization within two years.

7. 参考文件 Reference Document

7.1 《GEC-MP-07 授予、保持、更新、暂停、撤销、变更（含特殊临时审核）、恢复认证程序》

7.1 GEC-MP-07 Granting, Maintaining, Renewing, Suspending, Withdrawing, Changing (Including Special temporary Audit), Restoring Certification Management Procedure

7.2 《GEC-PD-01~05 公开文件》

7.2 GEC-PD-01~05 Public Document

7.3 GEC-MR-15 申投诉调查小组工作规则

7.3 GEC-MR-15 Appeal / Complaint Investigation Team Operation Regulations

8. 相关记录 Using Record

8.1 《GEC-08-01 客户申/投诉和争议处理单》

8.1 GEC-08-01 Appeals, Complaints and Dispute Record