



**北京鉴衡认证中心**


**China General Certification Center**

## **Procedure for complaints, appeals and disputes**

### **投诉、申诉和争议处理程序**


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### Document information 修订记录

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2		

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## 1 General 总则

1 China General Certification Center (hereinafter referred to as the CGC) hereby develop this procedure to ensure openness and transparency of its business, have clear channels for appeals, complaints and disputes, and safeguard the interests of CGC and stakeholders.

为保证北京鉴衡认证中心有限公司（以下简称“鉴衡”或“本机构”）业务的公开、透明，确保鉴衡具有公开的申诉、投诉及争议的处理渠道，维护认证组织和利益相关方的利益，特制订本程序。

## 2 Scope and applicability 适用范围

2 This procedure shall apply to CGC's treatment of appeals, complaints and disputes.

本程序适用于鉴衡申诉、投诉和争议的处理。

## 3 Definition 定义

3 Refer to the Terms and definitions in the *VALIDATION AND VERIFICATION / CERTIFICATION QUALITY MANUAL (CGC-QMVV-A01)*. The definition specific to this procedure is as follows:

参见《审定与核查质量手册》（CGC-QMVV-A01）中的术语和定义。本程序文件特定定义如下：

### 3.1 Appeals 申诉

4 A formal request for reconsideration of a conformity assessment result or related decision made by CGC, may include:

- Reject an application or terminate a conformity assessment without justifiable reasons;
- Objections to the conformity assessment result and/or the issued certificate or statement;
- Objection to the suspension, cancellation or revocation of the certificate or statement;
- Others where applicable.


申请者请鉴衡就其做出的与申请者期望的工作结果有关的决定进行重新考虑的正式书面请求。包括：

- 无正当理由不接受申请或不继续进行合格性评定；
- 对合格性评价决定和颁发的证书有异议；
- 对暂停、注销或撤消认证证书有异议；
- 其他。

### 3.2 Complaints 投诉

5 Except appeal, statement raised by any entity or individual to express their dissatisfaction with CGC and its division, department, and/or personnel, as well as request a response, may include:

- Delay in conformity assessment;
- Any objection to the qualifications of designated conformity assessment personnel;
- Any objection to the member(s) of appointed conformity assessment team;

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- It is thought that CGC and/or its personnel behaviors inappropriately;
- It is thought that CGC charges fees inappropriately;
- Any objection to the compliance with the certification standards, validation and verification standards;
- Any objection to the use of the certificate and certification mark;
- Any objection to the use of validation and verification statement and/or marks;
- Others where applicable.

The complains are classified into significant and regular levels.

除申诉外，任何组织或个人向鉴衡表达的，对各业务部门、相关人员或工作结果不满意并希望得到答复的表示。包括：

- 拖期实施合格性评定；
- 对合格性评定人员的资格有异议的；
- 对检查组、审核组、审定与核查组的组成有异议的；
- 认为鉴衡或人员存在违章行为的；
- 认为鉴衡违章收费的；
- 对予以认证标准、审定与核查标准及准则符合性有异议的；
- 对认证证书和认证标志的使用有异议；
- 对审定与核查的引用和审定与核查标志使用有异议；
- 其他。

投诉分为重大事项和一般等级。

### 3.3 Disputes 争议

6 The argument raised by relevant parties to express disagreement of conformity assessment process and/or technique with CGC and/or its personnel.

申请者与鉴衡各业务部门或相关人员在合格性评定活动中就工作程序和技术不同意见的书面表述。

#### 4 Responsibility 职责

7 Each business division shall collect and transfer received complaints, appeals and disputes.

各业务部门负责投诉、申诉和争议的收集、传递。


8 The Safety and Quality Department shall track, supervise, record and filling complaints, appeals and disputes.

安全质量部负责投诉、申诉和争议的跟踪、监督、记录和存档工作。

9 The Executive Deputy Director shall review and approve the establishment of the investigation team for significant complaints, as well as the decisions on significant complaints.

常务副主任负责审查批准重大事项投诉调查组的组成和处理意见。

10 The General Manager of the business division shall review and approve the establishment of the

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investigation team for regular complaints and disputes, as well as the decisions on regular complaints, appeals and disputes.

各业务部门总经理负责审查批准一般投诉和争议调查组的组成，以及申诉、一般投诉和争议的处理意见。

- 11 The temporarily formed investigation team shall investigate appeals, complaints and disputes, report the investigation results truthfully and make necessary suggestions for treatment.

临时组建的调查组负责申诉、投诉和争议的调查，如实报告调查结果并提出必要的处理建议。

## 5 General principles of treatment 处理总则

- 12 CGC shall handle appeals, complaints and disputes based on facts and in accordance with relevant national laws, regulations, standards, rules, and corresponding quality management system.

鉴衡处理申诉、投诉和争议以事实为依据，以国家相关法律法规、标准和相应实施规则为准则。

- 13 All persons involved in handling appeals, complaints and disputes shall be obliged to maintain the confidentiality of any non-public information related to appeals, complaints and disputes.

参与处理申诉、投诉和争议的所有人员对其所涉及到的任何与申诉、投诉和争议有关的非公开信息负有保密的责任。


- 14 All persons involved in handling appeals, complaints and disputes shall remain objective and fair, and shall not discriminate or treat differently the parties or persons who raise the appeals, complaints and disputes. If the appeals, complaints and disputes involve a specific conformity assessment matter, the conformity assessment personnel (including team leaders, team members, reviewers, opinion decision makers, etc.) of the matter shall not participate in the handling of the appeals, complaints and disputes.

参与处理申诉、投诉和争议的所有人员均应保持客观公正，不得对申诉、投诉和争议的提出方或提出人歧视或区别对待。如果申诉、投诉和争议涉及某项特定的合格性评定事项，该事项的合格性评定人员（包括组长、组员、复核人员、意见决定人员等）不得参与该申诉、投诉和争议的处理。

- 15 Individuals who have a direct interest in appeals, complaints and disputes (e.g. have provided consultation to the persons raising the appeals, complaints and disputes or have been employed by them or held management responsibilities in them) shall debar from handling the appeals, complaints and disputes within 2 years after the direct interest ends.

与申诉、投诉和争议事件有直接利害关系（曾为申诉、投诉和争议提出人提供过咨询或曾被其聘用过或担任过管理职责）的工作人员，均应在结束直接利害关系 2 年内回避该项申诉、投诉和争议的处理工作。

- 16 The *Appeal, Complaint and Dispute Form (QPG0601)*, provided for download at CGC's

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website, shall be completed and submitted to CGC.

申诉人、投诉人和争议人将填写好的申诉、投诉和争议记录表（QPG0601）上报至鉴衡。

- 17 The Safety and Quality Department or business division shall handling appeals, complaints and disputes, and record the process and result in the *Appeals, Complaints and Disputes Treatment Record (QPG0602)*.

安全质量部或业务部门负责对申诉、投诉和争议的受理，并将过程记录到记录申诉、投诉和争议处理结果记录单（QPG0602）中。

- 18 The temporarily formed investigation team shall handling specific appeals, complaints and disputes. The investigation team shall be authorized by the Executive Deputy Director (for significant complaint) or the General Manager of the business division (for others) and shall be free of interest in the object of the appeals, complaints and disputes.

调查组负责处理具体的申诉、投诉和争议。调查组由鉴衡常务副主任或部门总经理授权，并与申诉对象不存在利害关系。

- 19 The Safety and Quality Department shall remain and file *Appeal, Complaint and Dispute Form (QPG0601)* and *Appeals, Complaints and Disputes Treatment Record (QPG0602)*.

申诉、投诉和争议记录表（QPG0601）和申诉、投诉和争议处理结果记录单（QPG0602）交安全质量部统一归档保存。

- 20 When the parties or persons raising the appeal, complaint or dispute are disagree or unsatisfactory with the treatment results, and consequently complain to CGC’s administrative agency, the Safety and Quality Department shall organize relevant divisions to implement the conclusions and required measures issued by the administrative agency.

当申诉、投诉或争议人对处理结果有异议，向上级主管机构投诉时，安全质量部将组织相关部门根据上级主管机构调查处理的结论执行。

## 6 Treatment process at operational level 申诉、投诉或争议的处理


### 6.1 Classification of complaint 投诉等级的划分

- 21 Received complaints shall be classified into significant and regular levels. A significant complaint shall be handled by the Safety and Quality Department. Regular complaint shall be handled by the related business division and followed up by the Safety and Quality Department, or handled by the Safety and Quality Department for impartiality consideration.

投诉分为其他一般投诉、重大事项投诉。重大事项的投诉由安全质量部负责组织处理，其他一般投诉由业务部门处理和安全质量部派人跟踪，或者由安全质量部处理负责组织处理。

- 22 The criteria for classifying complaints are as follows:

- 1) The amount of possible financial loss to the client;
- 2) Expected expenses or costs for treatment and applicable correction activities or measures, as well as commercial related costs;
- 3) May cause significant impact or lead to legal proceedings;
- 4) The recurring and/or cumulative costs meet one of above 1), 2) or 3);

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- 5) May trigger collective complaints and appeals;
- 6) May cause significant safety and quality risks;
- 7) May potentially cause significant impact on CGC's reputation, especially complaints that media get involved in;
- 8) Others may cause significant impacts;

本机构投诉等级的划分原则如下:

- 1) 可能给客户造成的经济损失的金额;
- 2) 更正需要的支出的费用、处理需要发生的商务费用;
- 3) 可能引起重大影响或引发法律诉讼;
- 4) 重复发生、累积影响的费用达到 1)、2)、3) 其中一项条件;
- 5) 可能引发群体性的投诉、申诉;
- 6) 可能存在重大安全、质量隐患;
- 7) 潜在对公司形象产生重大影响, 经媒体曝光的投诉对公司品牌产生重大影响的;
- 8) 其他可能产生重大影响;

23 Detailed classification and description shall refer to following:

本机构具体的投诉等级和说明如下:

Level 等级	Possible consequences (meet any one of them) 投诉的影响程度 (满足其中一项为相应等级)	Handing by 投诉处理部门
Significant 重大事项投诉	<p>Client's financial loss is more than 100 thousands RMB Total treatment costs are more than 100 thousands RMB Cause significant impact or lead to legal proceedings Recurring and/or cumulative costs meet one of above May trigger collective complaints and appeals; May cause significant safety and quality risks; May potentially cause significant impact on CGC's reputation, especially complaints that media get involved in; Others may cause significant impacts Complaints raised by certificate holder Complaints and its treatment assigned by CGC central administration 给客户造成的经济损失超过 10 万; 处理总费用超过 10 万; 引起重大影响或引发法律诉讼; 重复发生、累积影响的费用达到以上其中一项条件; 可能引发群体性的投诉; 存在重大安全、质量隐患; 潜在对公司形象产生重大影响, 经媒体曝光的投诉对公司品牌产生重大影响的;</p>	Safety and Quality Department 安全质量部 处理



	其他可能产生重大影响; 对证书持有人的投诉; 公司经营管理团队交办的投诉;	
Regular 其他一般投诉	Any complaint other than significant level 不属于重大事项投诉的其他事项	Related business division and followed up by the Safety and Quality Department, or handled by the Safety and Quality Department for impartiality consideration 部门内处理, 安全质量部派人跟进或安全质量部处理

24 Complaints shall serve as input for customer satisfaction assessment, please refer to the *Rule for Customer Satisfaction Assessment (CGC-XZ-G14)* for details.

投诉作为客户满意度考核的输入, 具体参照《客户满意度考核指南》(CGC-XZ-G14)。

### 6.2 Complaint treatment process 投诉的处理流程

25 Complaints can be raised in written form, WeChat, phone, email, fax, or online. Generally, CGC shall not accept anonymous complaints. The complaint shall provide detailed information, supporting evidence, and be signed, otherwise the complaint shall be deemed invalid and not be processed.

投诉可以书面、微信、电话、邮件、传真、网络等形式就投诉所涉及的事件向鉴衡提出。通常情况下, 鉴衡不受理匿名投诉。投诉人须提供所投诉事件的详细情况、证明材料并签章, 否则将视为无效投诉并不予处理。


26 The Safety and Quality Department or the business division shall record and classify the received complaints, and notify the complainant that the complaint has been received.

安全质量部或业务部门对所提交的投诉进行记录, 确定投诉的等级, 并通知投诉人收到投诉材料。

#### 6.2.1 Regular complaint process 其他一般投诉的处理

27 The General Manager of the business division shall report regular complaints to the Executive Deputy Director, and then appoint independent personnel for handling, if necessary, set up an investigation team and provide guidelines. The Safety and Quality Department may participate in the investigation and handling, and the related business division shall actively cooperate with.



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Alternatively, the Safety and Quality Department can handle complaints directly, it shall organize independent personnel, if necessary, set up an investigation team and provide guidelines.

其他一般投诉由业务部门负责人发给常务副主任确认后，组织独立于投诉事项的人员进行处理，必要时成立调查组，提出处理意见。安全质量部派人参加投诉的调查和处理，有关方面应积极配合调查与处理。或者安全质量部处理，组织独立于投诉事项的人员进行处理，必要时成立调查组，提出处理意见。

- 28 Within 30 days after accepting complaints, the handling personnel or investigation team shall report the results to the General Manager of the business division and the Executive Deputy Director, and then feedback to the complainant. If the complainant is not satisfied with the results, he/she may continually raise complaints to CGC, or to CGC's administrative agency / supervision body / mechanism administration / accreditation body.

处理人员在受理投诉后的 30 日内将处理结果报业务部门负责人和鉴衡领导后反馈给投诉方。如果投诉方对处理结果不满意，可以继续向鉴衡提出申诉，或向鉴衡的主管部门/监管机构/机制的主管机构/认可机构提出投诉或申诉。


#### 6.2.2 Significant complaint process 重大事项投诉的处理

- 29 The Safety and Quality Department shall report significant complaints to the Executive Deputy Director, and then appoint independent personnel for handling, if necessary, set up an investigation team and provide guidelines. The related division / department / person shall actively cooperate with. For complaints that need to take corrective measures, the *Control of non-conformities, corrective and preventive action management procedure (CGC-QP-G09)* shall be followed.

对鉴衡投诉的，由安全质量部或业务部门告知常务副主任，由安全质量部组织独立于投诉事项的人员进行处理，必要时成立调查组，提出处理意见，经机构领导批准后执行。有关方面应积极配合调查与处理。对于需要采取纠正措施的，按照《不合格控制及纠正、预防措施程序》（CGC-QP-G09）执行。

- 30 For complaints against the holders of CGC's conformity assessment results (e.g. certificate, statement, etc.) regarding relevant conformity assessment, the Safety and Quality Department, based on the content and nature of the complaints, shall require the holder to provide formal descriptions, explanations, and corresponding evidence, if necessary, arrange a CGC-conducted onsite investigation. For complaints that need to take corrective measures, the Safety and Quality Department shall require the holder implement and report correction measures, if necessary, performance of corrective measures shall be verified by the Safety and Quality Department. The issued conformity assessment results may be changed according to complaints treatment conclusions.

鉴衡收到的，对合格性评定结论持有人的关于本次合格性评定的投诉，安全质量部负责根

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据  
投

诉信息的内容和性质，要求结论持有人做出书面说明并提交相关证据，必要时由鉴衡组织调查组进行现场调查。对于需要采取纠正措施的，要求有关结论持有人采取措施并上报安全质量部，必要时安全质量部将组织人员验证措施的有效性，根据结果做出与合格性评定结论相关的决定。

- 31 Within 60 days after accepting complaints, the Safety and Quality Department shall report the results to the Executive Deputy Director, and then feedback to the complainant. If the complainant is not satisfied with the results, he/she may continually raise complaints to CGC, or to CGC’s administrative agency / supervision body / mechanism administration / accreditation body.

安全质量部应在受理投诉后的 60 日内将处理结果上报鉴衡领导后反馈给投诉方。如果投诉方对处理结果不满意，可以继续向鉴衡提出申诉，或向主管部门/监管机构/机制的主管机构/认可机构提出投诉或申诉。

## 7 Appeal treatment process 申诉的处理

- 32 Appellant shall raise appeals within 30 days after receiving CGC’s conformity assessment result or related decision. The appeal shall be submitted to the Safety and Quality Department in the form of a written document and signed/stamped by the appellant.

申诉人可在接到鉴衡的决定或措施通知后 30 日内向鉴衡提出申诉。申诉应以书面文件形式并经申诉方负责人签名/盖章后提交安全质量部。

- 33 The Safety and Quality Department shall record received appeals, report to the Executive Deputy Director and inform the appellant that the appeals have been received. An independent investigation team shall be established, the investigation team shall make every effort to obtain evidence, such as hearing from both parties, on-site investigations, obtaining written evidence, consulting experts, etc., to make an evidence-based judgment. The investigation team shall promptly update the process with the appellant.


安全质量部对所提交的申诉文件进行登记，并报告鉴衡领导，同时通知投诉人收到投诉材料。由鉴衡无利害关系的人员组成调查组，并采取各种措施获取证据，如听取双方陈述、现场调查、调取书面证据、向专家咨询等，做出有根据的判断。调查组应及时告知申诉人申诉处理的进展。

- 34 The investigation team shall make a decision based on the facts of the investigation within 3 months after receiving appeals, the Safety and Quality Department shall formally inform the appellant of the decision.

调查组基于调查的事实提出处理决定，并通过安全质量部书面通知申诉人及有关各方。自申诉文件提交到安全质量部的 3 个月内，调查组必须对申诉做出决定。

- 35 For appeals that need to take corrective measures, the *Control of non-conformities, corrective and preventive action management procedure (CGC-QP-G09)* shall be followed.

如果申述的处理需要采取纠正措施，按照《不合格控制及纠正、预防措施程序》

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(CGC-QP-G09) 执行。

- 36 If the appellant is not satisfied with the results, he/she may continually raise appeals to CGC's administrative agency / supervision body / mechanism administration / accreditation body.  
如果申诉人对申诉决定仍然不满意，可继续向主管部门/监管机构/机制的主管机构/认可机构等机构提出申诉。

## 8 Dispute treatment process 争议的处理

- 37 Dispute can be raised in written form, WeChat, phone, email, fax, or online. The dispute and its material opinion shall be supported by detailed explanations and demonstrations, as well as evidence, otherwise the dispute shall be deemed invalid and not be processed. For valid dispute the Safety and Quality Department or related business division shall inform the disputant that the dispute has been received.

争议可以书面、微信、电话、邮件、传真、网络等形式就争议事件向鉴衡提出。争议提出人须提供所持观点的详细情况、论证等，否则将视为无效争议而不予处理。对于有效的争议，安全质量部或业务部门将通知提出人收到争议。


- 38 Disputes of different opinions during the conformity assessment process shall be generally communicated and discussed between the team leader and the client / responsible party based on external requirements / mechanism requirements / accreditation standards and other related indications. If no consensus can be reached, the team leader can still make an independent conclusion but shall formally report the dispute to the Safety and Quality Department within 10 days after making a conclusion. The client / responsible party can also directly raise the formal dispute to the Safety and Quality Department within 10 days after the team leader makes conclusion.

就合格性评定过程中的不同意见提出的争议，一般由开展合格性评定的组长与委托方/责任方依据外部要求/机制要求/认可标准等文件协商处理。对协商不能取得一致意见的，组长可做出和合格性评定的相关结论，但须将争议的情况在 10 日内书面报告安全质量部。委托方/责任方也可以在 10 日内直接以书面文件形式向安全质量部提出争议。

- 39 For other disputes, shall be raised within 10 days after the dispute occurs.  
对其他争议，应在争议所涉及的事件发生后 10 日内以书面文件形式向鉴衡提出。
- 40 For disputes that need to take corrective measures, the *Control of non-conformities, corrective and preventive action management procedure (CGC-QP-G09)* shall be followed.  
如果争议的处理需要采取纠正措施，按照《不合格控制及纠正、预防措施程序》(CGC-QP-G09) 执行。

- 41 The Safety and Quality Department shall record the received disputes (contact person and information) and organize studies, if necessary, related or other divisions / personnel shall participate in the studies.

安全质量部对所提交的争议进行记录（联络人、电话、地址等），并进行研究，必要时，

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其他

部门或相关人员参与对争议的研究讨论。

- 42 The Safety and Quality Department shall notify the disputant of the results within 30 days after receiving disputes.

相关业务部门或人员在 30 日内将书面研究结果通过安全质量部通知争议人。

- 43 If the disputant is not satisfied with the results, he/she may continually raise appeals or complaints to CGC.

争议人如果对处理结果不满意，可以通过本程序向鉴衡提出投诉或申诉。

## 9 Related documents 相关文件

- 44 《Control of non-conformities, corrective and preventive action management procedure 不合格控制及纠正、预防措施程序》(CGC-QP-G09)

- 45 《Rule for Customer Satisfaction Assessment 客户满意度考核指南》(CGC-XZ-G14)

## 10 Related records 记录

- 46 This procedure may generate following records:

- 47 本程序文件相关记录如下:

- 1) Appeal, Complaint and Dispute Form 申诉、投诉和争议登记表 (QPG0601)
- 2) Appeals, Complaints and Disputes Treatment Record 申诉、投诉和争议处理结果记录单 (QPG0602)

(End of the document 以下无内容)