

DISPUTE AND APPEAL PROCESS 争议和申诉过程

Document #: GOP208

Release Date: 01-MAR-2018

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Document Owner: Director – Internal Auditing

Approver: VP - TM&Q

This process only applies to disputes and appeals related to Business Assurance activities

此过程仅适用于针对 BA 活动的争议和申诉

Purpose 目的

To describe the process for receiving, evaluating, and making decisions on disputes and/or appeals.

描述争议和/或申诉的接收、评估和决定相关过程。

Scope 范围

This process is to be used to process a dispute on a nonconformity(ies) or a certification decision, including suspension, withdrawal and/or scope reduction of a certification audit result. It also applies in the case of clients who are not satisfied with the results of the dispute process and wish to appeal the decision. All disputes and appeals received will be processed through the Complaints, Disputes & Appeals log

此过程是用于对不符合或认证决定包含暂停、注销和/或认证审核决定缩减认证范围提出争议时使用的。

此过程也同样适用于当客户对争议过程结果不满意，希望申诉争议结果时使用。所有收到的争议和申诉将会使用投诉、争议和申诉日志进行登记。

Responsibilities 职责

- Technical Manager: In the case where the contracting office is an accredited Business Unit (or Hub), the Technical Manager is responsible for the application of the process
技术经理：当缔约办公室是一个认可的业务部门（或技术中心），技术经理负责该过程的运用。
- BA General Manager: In the case where the contracting office is an unaccredited business unit, the tasks assigned below to the Technical manager are assigned to the BA General Manager
BA 总经理：当缔约办公室是一个非认可的业务部门，被分配给技术经理以下的任务要分配给 BA 总经理。
- Global Account Manager: In the case of disputes/appeals related to global accounts, the Global Account Manager shall work with the Technical Manager or BA General Manager to the resolution of the dispute/appeal
全球客户经理：如果投诉涉及全球客户，全球客户经理需与技术经理或 BA 总经理合作解决投诉。
- Mailbox Administrator: To identify who should receive the dispute/appeal (per “Process Description” below) and forwarded it to the appropriate individual within 2 business days
邮箱管理员：识别争议/申诉接收人（根据以下过程描述）并在 2 个工作日内转发给相关人员。





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Definitions 定义

Dispute: A difference in interpretation of a requirement which justifies formal documentation for further evaluation.

争议：针对正式文件内容有异议，要求做进一步评估的请求。

Appeal: A formal request for reconsideration of any dispute decision.

申诉：一个关于对任何争议决定提出的要求重新审议的正式请求。

Designated investigator: Competent personnel who was not involved with the audit and/or decision making process related to the dispute

指定调查人：胜任并且未参与到相关争议所涉及的审核和/或决定过程的人员。

Notes 备注

- Submission, investigation and decision on disputes and appeals shall not result in any discriminatory actions against the client filing the appeal and/or the dispute.

提交、调查以及对争议和申诉的决定，不得导致对客户提起的申诉和/或争议有任何歧视性行为。

- If the dispute or appeal does not relate to Business Assurance activities, Business Assurance personnel should do its best to identify the party the dispute or appeal should be addressed by and then notify the person filing the appeal or dispute that the dispute or appeal has been received and forwarded to the appropriate Intertek business unit. Such disputes/appeals are not to be recorded in the Complaints, Disputes & Appeals log.

如果争议或申诉与 BA 活动无关，BA 人员应尽最大能力识别应处理争议/申诉的相关方，并且通知提出争议或申诉的人员，已收到争议或申诉，并已转发给合适的 Intertek 的部门。这种争议/申诉不需要记录在投诉、争议和申诉日志里的。

- This process does not apply in the case of disputes/appeals related to financial/commercial matters. Nevertheless, in such cases, the issue is to be directed to the Business Unit BA General Manager
此过程不适用于有关财务/商务方面的争议/申诉。然而，这种情况应直接汇报给 BA 部门总经理。

Input: Disputes or appeal received from clients **输入：**来自客户的争议或申诉

Output: Investigation result **输出：**调查结果

KPIs:

- Forward dispute/appeal to the appropriate person within 2 business days
2 个工作日内把证书/申诉转发至相关人员
- Technical Manager acknowledge receipt of dispute/appeal within 10 business days



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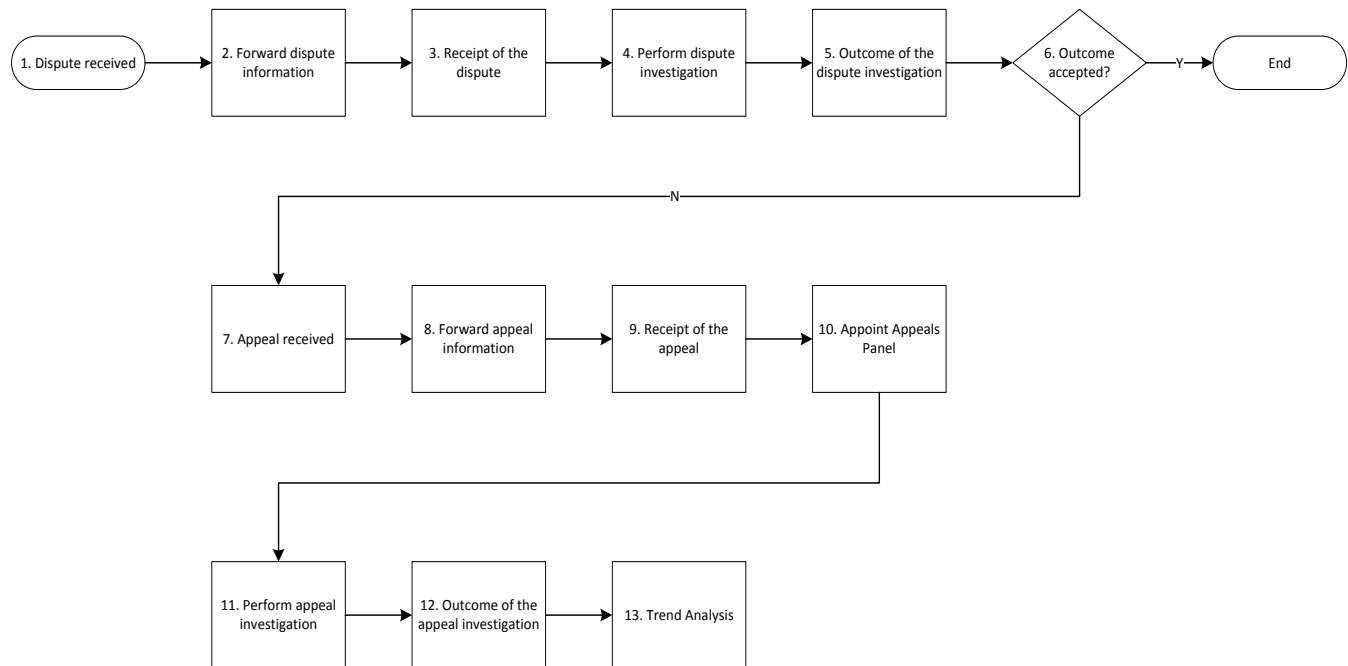
技术经理在 10 个工作日内通知收到了争议/申诉

- Outcome sent to the client within 30 working days.
30 个工作日内将最终结果发送给客户

Complaints, Disputes & Appeals log URL: 登记投诉、争议和申诉的链接

<https://sharepoint.intertek.com/industrialservices/audit/Lists/Complaint%20Disputes%20%20Appeals%20Log/Open%20ComplaintsDisputesAppeals.aspx>

Process Flow: 过程图



Action 行动	By Whom 由谁	Related Docs 相关文件	Comment 具体要求
Dispute and Appeal Process			

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争议和申诉过程				
1	Dispute received 收到争议	Mailbox Administrator, Local Office 邮箱管理员、当地办公室	Email, letter GOP208-INFO 邮件、信	<p>A client shall, within 30 days of the decision, submit a dispute in writing to Intertek by Email at: disputes.appeals.ba@intertek.com or regular mail directly to the local office. 客户应在决定做出的 30 天之内，以邮件形式提交争议内容至 Intertek 电子邮箱地址: disputes.appeals.ba@intertek.com 或是直接发邮件给当地办公室。</p> <p>Dispute received verbally will not be accepted. 口头收到的争议将不予受理。</p>
2	Forward dispute information 转发争议信息	Mailbox Administrator, Local Office 邮箱管理员、当地办公室		<p>Forward to the appropriate Technical Manager and/or appropriate Certification Authority designee of the Intertek Certification Body responsible for the issue of the related certification (this information is available in iEnable) within 2 business days. The mailbox administrator must confirm that the dispute information was received by the Technical Manager or Cert Authority through an e-mail read receipt or other means prior to considering this step as completed.</p> <p>应在 2 个工作日内转发给技术经理和/或 Intertek 认证机构负责相关认证问题的合适的认证决定人员（可通过 iEnable 查询作出认证决定的具体人员）。</p> <p>邮箱管理员必须通过邮件已读回执或在考虑这一步骤操作之前的其他方法确保技术</p>



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				<p>经理或认证决定人员已收到争议。</p> <p>In the case of a Global account, the Technical Manager shall work with the Global Account Manager throughout the dispute process. 如是全球客户，技术经理应与全球客户经理在争议处理过程中合作处理。</p>
3	<p>Receipt of the dispute 确认收到争议</p>	<p>Technical Manager 技术经理</p>	<p>Complaints, Disputes and Appeals Log Correspondence 投诉、争议和申诉登记日志 通信记录</p>	<p>Upload dispute into the Complaints, Disputes and Appeals Log. 上传并登记在投诉、争议和申诉日志中。</p> <p>Acknowledge and respond to the person sending Dispute within 10 days. A copy of this acknowledgement shall be uploaded into the Complaints, Disputes and Appeals Log SharePoint as an evidence of acknowledgement. (see Note 1 below) 在 10 个工作日内确认并回复给争议提出人。确认的复印件应上传至 Sharepoint 投诉、争议和申诉登记日志里作为确认的证据。（见备注 1）</p>
4	<p>Perform dispute investigation 实施争议调查</p>	<p>Technical Manager (see Note 2 below) 技术经理 (见备注 2)</p>		<p>Investigate or assign the task of investigating the dispute to a designated investigator who has not been previously involved with the subject of the dispute. 调查或将需要调查的争议委派给未曾参与到有关争议活动中的指定人员。</p> <p>Review of the client’s documented dispute, related reports, and consultation with the audit team members as well as with the client’s management. 对客户形成文件的争议、涉及的报告进行评审，并通过审核组成员或客户的管理人员了解情况。</p>



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				<p>The one responsible for investigating the dispute has to investigate, validate, and document the resolution of the dispute. Judgment must be based on facts and evidence provided.</p> <p>负责调查争议的人员应调查、验证并形成书面的有关争议的解决方案。必须依据事实和提供的证据作出判断。</p> <p>If necessary provide the client with progress reports.</p> <p>如有必要，可向客户提供进度报告。</p>
5	<p>Outcome of the dispute investigation</p> <p>争议调查的结果</p>	<p>Technical Manager</p> <p>技术经理</p>	<p>E-mail Complaints, Disputes and Appeals Log</p> <p>投诉、争议和申诉登记日志</p>	<p>Inform the client of the result of the investigation within 30 days and of the right to appeal the decision in writing within 30days.</p> <p>30 天内将调查结果通知客户，同时告知其对相关决定的申诉权利。</p> <p>Document the decision related to the outcome into the Complaints, Disputes and Appeals Log.</p> <p>把相关书面决定和结果登记在投诉、争议和申诉日志中。</p> <p>Perform an analysis of the cause of the dispute and determine if any correction and/or corrective action is needed.</p> <p>对引起争议的原因进行分析，并确定是否需要采取纠正和/或纠正措施。</p> <p>If any correction, corrective and/or preventive action is required, it shall be</p>



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				<p>processed in accordance with GOP210 sections 1.0 and 2.0.</p> <p>若需要采取纠正、纠正和/或预防措施，应依照 GOP210 1.0 章节和 2.0 章节要求处理。</p>
6	Outcome accepted 接受结果	Technical Manager 技术经理	Complaints, Disputes and Appeals Log. 投诉、争议和申诉登记日志	<p>Close the dispute in the Complaints, Disputes and Appeals Log.</p> <p>在投诉、争议和申诉登记日志中关闭相关争议。</p>
7	Appeal received 收到申诉	Mailbox Administrator, Local Office 邮箱管理员、当地办公室	Correspondence 通信记录	<p>A client shall, within 30 days of the dispute decision, submit an appeal in writing to Intertek by Email at: disputes.appeals.ba@intertek.com or regular mail directly to the local office.</p> <p>客户应在争议决定做出后 30 天之内，以邮件形式提交申诉内容至 Intertek 电子邮箱地址： disputes.appeals.ba@intertek.com 或是直接发邮件给当地办公室。</p>
8	Forward appeal information 转发申诉信息	Mailbox Administrator, Local Office 邮箱管理员、当地办公室		<p>Forward to the appropriate Technical Manager and/or appropriate Certification Authority designee of the Intertek Certification Body responsible for the issue of the related certification (this information is available in iEnable) within 2 business days.</p> <p>The mailbox administrator must confirm that the appeal information was received by the Technical Manager or Cert Authority through an e-mail read receipt or other means prior to considering this step as completed.</p> <p>应在 2 个工作日内转发给技术经理和/或 Intertek 认证机构负责相关认证问题的合适的认证决定人员（可通过 iEnable 查询</p>



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				<p>作出认证决定的具体人员)。</p> <p>邮箱管理员必须通过邮件已读回执或在考虑这一步骤操作之前的其他方法确保技术经理或认证决定人员已收到申诉。</p> <p>In the case of a Global account, the Technical Manager shall work with the Global Account Manager throughout the appeal process. 如是全球客户，技术经理应与全球客户经理在申诉处理过程中合作处理。</p>
9	Receipt of the appeal 确认收到争议	Technical Manager 技术经理	Complaints, Disputes and Appeals Log Correspondence 投诉、争议和申诉登记日志 通信记录	<p>Upload appeal into the Complaints, Disputes and Appeals Log. 上传申诉并登记在投诉、争议和申诉日志中。</p> <p>Acknowledge and respond to the person sending Dispute within 10 days. A copy of this acknowledgement shall be uploaded into the Complaints, Disputes and Appeals Log SharePoint as an evidence of acknowledgement. (see Note 1 below)</p> <p>在 10 个工作日内确认并回复给申诉提出人。确认的复件应上传至 Sharepoint 投诉、争议和申诉登记日志里作为确认的证据。(见备注 1)</p>
10	Appoint Appeals Panel 任命申诉委员会	Intertek management Intertek 管理层		<p>Appeal to be processed by a Panel of three (3) members appointed by Intertek's management. (See note 2) 申诉将由 Intertek 管理层任命的 3 上诉委员会来处理。</p>
11	Perform appeal investigation 实施申诉调查	Appeal's Panel / Technical Manager		<p>The Panel is responsible for investigating, validating, and documenting the resolution of the appeal.</p>



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		申诉委员会/ 技术经理		<p>委员会负责调查、验证并形成书面的有关申诉的解决方案。</p> <p>Members of the Appeal’s Panel will make judgment based on facts and evidence provided.</p> <p>申诉委员会成员将会依据事实和提供的证据作出判断。</p> <p>The Appeal’s Panel may elect to hear oral testimony from both parties.</p> <p>申诉小组可选择倾听来自双方的口头证词。</p> <p>If necessary provide the client with progress reports.</p> <p>如有必要，可向客户提供进度报告。</p>
12	Outcome of the appeal investigation 申诉调查的结果	Technical Manager 技术经理	Correspondence Complaints, Disputes and Appeals Log 通信记录 投诉、争议和 申诉登记日志	<p>Inform the client of the result of the investigation and the outcome of the panel within 30 days.</p> <p>30 天内将调查结果以及申诉委员会的结果通知客户。</p> <p>The decision shall be the final decision of Intertek.</p> <p>Document the decision related to the outcome into the Complaints, Disputes and Appeals Log.</p> <p>此决定应作为 Intertek 最终的决定。</p> <p>形成书面决定并登记在投诉、争议和申诉日志中。</p>



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				<p>Perform an analysis of the cause of the appeal and determine if any correction and/or corrective action is needed. 对引起申诉的原因进行分析，并确定是否需要采取纠正和/或纠正措施。</p> <p>If any correction, corrective and/or preventive action is required, it shall be processed in accordance with GOP210 sections 1.0 and 2.0. 若需要采取纠正、纠正和/或预防措施，应依照 GOP210 1.0 章节和 2.0 章节要求处理。</p>
13	Trend Analysis 趋势分析	Director – Internal Auditing 总监-内部审计核	Analysis report 趋势分析报告	<p>Perform trend analysis quarterly 每个季度对趋势进行分析</p> <p>Summary submitted to the Regional Certification Managers and the Global Vice President – Technical Management & Quality 把形成的总结提交给地区认证经理和全球技术管理和质量副总裁。</p>

Notes 备注:

1. Unless a decision is forwarded to the client within ten days of receipt of the dispute **or appeal**.
除非在收到争议/申诉后的 10 天内已把决定转发给客户。
2. The personnel engaged in the appeals-handling process are different from those that carried out the audits, made the certification decisions, or were involved in the processing of the related dispute.
参与申诉过程处理的人员应不同于参与过审核、作出认证决定、或涉及到争议的人员。

Records 记录

All records relative to Disputes/Appeals shall be entered into the Complaints, Disputes & Appeals log and maintained per GOP202 - Records Control Process.

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所有关于争议/申诉的记录应被记录到投诉、争议和申诉日志中，并依照 GOP202-记录控制过程进行维持。

REVISION LOG

Revision #	Description of Change	Release Date
6	Re-formatting of the document & addition of administrative information	02-JUN-2017
7	Additional instruction added due to a finding from the internal audit.	01-MAR-2018