

COMPLAINT HANDLING PROCESS 投诉处理过程

Document #: GOP216

Release Date: 25-JAN-2019

Page 1 of 9

Document Owner: L. Poulton

Approver: Global VP, Technical Mngment & Quality

**This process only applies to complaints related to Business Assurance activities.
此过程仅适用于针对 BA 活动的投诉**

1. Purpose 目的

To describe the complaint handling process, including receiving, validating, investigating, and deciding what actions are to be taken in response to the complaint.

描述投诉处理过程，包括接收、验证、调查以及决定应对投诉所采取的行动。

2. Scope 范围

This process applies to complaints relating to Intertek's certification/auditing services, and complaints against certified/audited clients made to Intertek.

此过程适用于 Intertek 认证/审核服务有关的投诉，以及针对 Intertek 获证/审核客户的投诉。

For complaints issued by clients holding JAS-ANZ traceable certifications or complaints against clients holding JAS-ANZ traceable certifications, please refer to section 10 below for additional requirements.
针对拥有源自于 JAS-ANZ 认证客户的投诉或者投诉获得 JAS-ANZ 认证的客户，请参见以下第 10 部分获取额外的要求。

3. 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 or a designated staff appointed by the BA General Manager
BA 总经理：当缔约办公室不是一个认可的业务部门，分配给技术经理以下的任务将分配给 BA 总经理或 BA 总经理任命的员工。
- Global Account Manager: In the case of complaints related to global accounts, the Global Account Manager shall work with the Technical Manager or BA General Manager to the resolution of the complaint
全球客户经理：如果投诉涉及全球客户，全球客户经理应与技术经理或 BA 总经理合作解决该投诉。





COMPLAINT HANDLING PROCESS 投诉处理过程

Document #: GOP216

Release Date: 25-JAN-2019

Page 2 of 9

Document Owner: L. Poulton

Approver: Global VP, Technical Mngment & Quality

4. Definition 定义

Complaints: Expressions of dissatisfaction made to Intertek with regards to its certification/auditing services or its certified/audited clients (as it relates to the implementation of the clients' management systems), where a response or resolution is explicitly or implicitly expected.

投诉：对于 Intertek 的认证/审核服务或其认证/审核客户表达不满（如其涉及客户的管理体系实施），Intertek 收到后应予以明确回复或告知解决方案。

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

任命的调查人：未包括在与投诉有关的审核以及/或所做决定的过程中的有能力的人员。

Notes: 备注

- The complaint handling process is subject to the requirements for confidentiality.
投诉处理过程应遵守保密要求。
- This process does not apply in the case of complaints 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/商务投诉。然而，这种情况应直接汇报给业务部门 BA 总经理。
- For complaints related to integrity/compliance, the complainant will be acknowledged and the complaint will be forwarded to Local Compliance Officer/Manager to process in accordance with Intertek Integrity Compliance Handling Procedure (WI-QCS-012)
有关廉政/公正性方面的投诉，投诉人将被告知该投诉将转发给当地合规官员/经理依照 [WI-QCS-012 Integrity Compliance Handling Procedure](#) 进行处理。
- Submission, investigation and decision on complaints shall not result in any discriminatory actions against the complainant.
投诉的提交、调查以及决定不能对投诉人有歧视行为。
- Intertek will take any necessary corrective actions related to the complaint, whether against Intertek certification/auditing activities or against the certified/audited client.
不论是针对 Intertek 的认证/审核活动或是认证/审核客户的投诉，Intertek 将会对相关的投诉采取任何必要的纠正措施。
- When the complaint is against a certified/audited client, the subject of the complaint is not to be made public unless Intertek, the complainant, and the client decide together as to what extent the subject of the complaint and the resolution shall be made public
当收到关于认证/审核客户的投诉时，其投诉内容不能被公开，除非 Intertek、投诉方以及客户一起决定何种程度的投诉内容以及解决方案应被公开。
- If the complaint does not relate to Business Assurance activities, Business Assurance personnel receiving the complaint should do its best to identify the party the complaint should be addressed by and then notify the complainant that the complaint has been received and forwarded to the appropriate Intertek business unit. Such complaints are not to be recorded in the Complaints, Disputes & Appeals log.



COMPLAINT HANDLING PROCESS 投诉处理过程

Document #: GOP216

Release Date: 25-JAN-2019

Page 3 of 9

Document Owner: L. Poulton

Approver: Global VP, Technical Mngment & Quality

如果投诉不是有关 BA 的活动，接收到投诉的 BA 有关人员应尽最大能力识别应处理投诉的相关方，并且通知提出投诉的人员已收到投诉并已转发给合适的 Intertek 的部门。这种投诉不需要记录在投诉、争议和申诉日志里的。

5. Input 输入

Complaints received from clients through the Global BA Complaint email, complaint.ba@intertek.com or through the Intertek office via telephone, email, or other type of communication.

通过全球 BA 投诉电子信箱 complaint.ba@intertek.com 接收来自于客户的投诉，或通过电话、电子信箱或其他方式联系 Intertek 办公室。

6. Output 输出

Investigation result and updated Complaints, Disputes and Appeals Log
调查结果以及更新的投诉、争议和申诉日志

7. KPIs

Mailbox Administrator/Complaint Recipient forward Complaint to the appropriate person within 2 business days, Technical Manager acknowledge receipt of Complaint within 10 business days, and outcome responds to person sending in Complaint within 30 working days.

邮箱管理员/投诉接收人在 2 个工作日内将投诉转发给合适的人员，技术经理在 10 个工作日内接收获悉投诉，并且在 30 个工作日内将结果反馈发送给投诉人。



COMPLAINT HANDLING PROCESS 投诉处理过程

Document #: GOP216

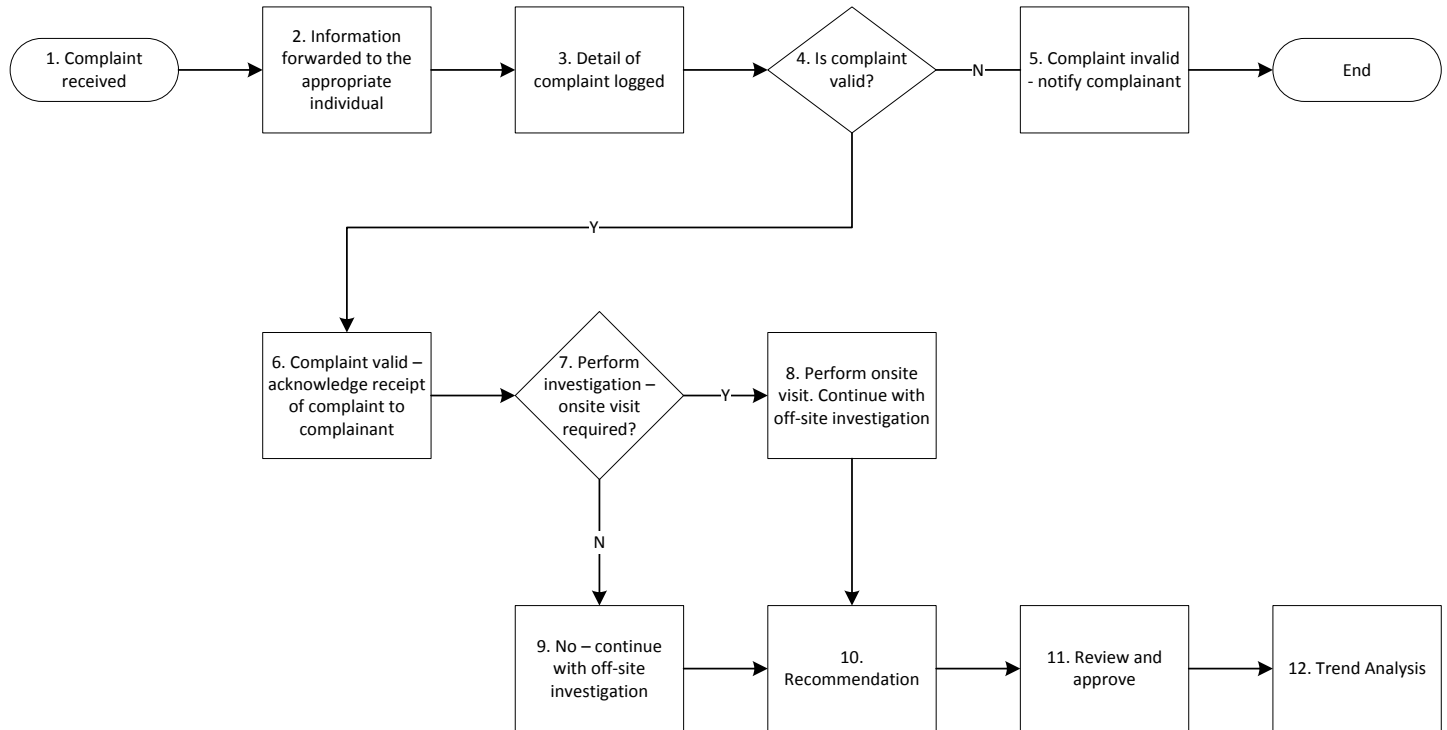
Release Date: 25-JAN-2019

Page 4 of 9

Document Owner: L. Poulton

Approver: Global VP, Technical Mngment & Quality

8. Process Flow: 流程图



9. Process Description 流程描述

	ACTION 措施	BY WHOM 由谁	RELATED DOCS 相关文件	COMMENT 注释
	Complaint Handling Process 投诉处理过程		GOP 216	
1	Complaints received 接收投诉	Mailbox Administrator 邮箱管理员	Email, telephone, NPS, other type of communication 电子邮件、电话、NPS、其他沟通方式	Any party wishing to submit a complaint contacts the Intertek office via telephone, email, or other type of communication or by sending an Email at complaints.ba@intertek.com . A detractor comment received via the NPS process is to be treated as a complaint. 任何一方想要联系 Intertek 办公室递交投诉, 可通过电话、电子邮件、及其他沟通方式, 或发送电子邮件至: complaints.ba@intertek.com . 通过 NPS 流程接收到一条贬损者的意见视作为一个投诉。



COMPLAINT HANDLING PROCESS 投诉处理过程

Document #: GOP216

Release Date: 25-JAN-2019

Page 5 of 9

Document Owner: L. Poulton

Approver: Global VP, Technical Mngment & Quality

2	Information forwarded to the appropriate individual 将信息转发给合适的人员	Mailbox Administrator 邮箱管理员	Email 电子邮件	Information forwarded to the appropriate Technical Manager for action within 2 days. 在 2 天内将投诉转发给合适的技术经理采取措施。
3	Detail of complaint logged 登记投诉详情	Technical Manager 技术经理	Complaints, Disputes and Appeals Log 投诉、争议和申诉日志	Upload Complaint into SharePoint Complaints, Disputes and Appeals Log 在 SharePoint 投诉、争议和申诉日志里更新投诉内容。
4	Verify the validity of the complaint 验证投诉有效性	Technical Manager 技术经理		Within 10 working days review the nature and content of the complaint and determine whether this is a valid complaint or not. 在 10 个工作日内评审投诉性质和内容，并决定其是否是一个有效的投诉。
5	Complaint invalid 无效的投诉	Technical Manager 技术经理		If concluded as not valid, then inform complainant within 10 days Update the Complaints, Disputes & Appeals log accordingly Process ends. 如果确定无效，那么在 10 天内通知投诉人相应地更新投诉、争议和申诉日志 流程结束。
6	Complaint valid – acknowledge receipt 有效投诉-告知已接收	Technical Manager. 技术经理	Complaints, Disputes and Appeals Log 投诉、争议和申诉日志	If concluded as valid acknowledge receipt of the complaint to the complainant within 10 working days and start investigation. (see note 6 below) Update the Complaints, Disputes & Appeals log accordingly 如果确定有效，在 10 个工作日内告知投诉人投诉已接收并且开始调查。(见以下备注 6) 相应地更新投诉、争议和申诉日志
7	Perform investigation 执行调查	Technical Manager 技术经理		Investigate or assign the task of investigating the complaint to a designated investigator who has not been previously involved with the subject of the complaint. Special on-site audit will be arranged if needed. 调查或分配投诉的调查任务给任命的调查人，该调查人之前未包括在该投诉事件之中。 如需要将安排特殊的现场审核。
8	Perform on site visit 执行现场审核	Lead Auditor 审核组长	Report 报告	Complaints received from Accreditation Bodies, Sector Authority Organizations, or clients'



COMPLAINT HANDLING PROCESS 投诉处理过程

Document #: GOP216

Release Date: 25-JAN-2019

Page 6 of 9

Document Owner: L. Poulton

Approver: Global VP, Technical Mngment & Quality

				<p>customers may require an on-site investigation review visit (See note 1) Report submitted within five working days of completion of the visit. Continue with off-site investigation. 收到的来自于认可机构、行业权威组织、或客户的客户的投诉可要求执行现场审核来进行调查（见备注 1） 现场审核完成之后 5 个工作日内递交报告。继续进行非现场调查。</p>
9	Continue with off-site investigation 继续进行非现场调查	Technical Manager or designated investigator 技术经理或任命的调查人		<p>Resolve complaint through an investigation and validation process with decisions made on what actions are to be taken in response to the complaint 通过调查和验证过程最终解决投诉，回复针对投诉决定采取的相关措施。</p>
10	Recommendation 建议	Technical Manager or designated investigator 技术经理或任命的调查人	Complaints, Disputes and Appeals Log 投诉、争议和申诉日志	<p>Document the recommendation in the Complaints, Disputes & Appeals log. (See note 2) 在投诉、争议和申诉日志里记录下建议（见备注 2）</p>
11	Review and approval 评审及批准	Technical Manager or General Manager 技术经理或总经理	Complaints, Disputes and Appeals Log Correspondence 投诉、争议和申诉日志 信件	<p>Review and approve results of the investigation (See note 3) Certification suspension or withdrawal will be processed accordingly if investigation concludes it. Inform the complainant of the results and the decision of the investigation within 30 working days of receipt of the complaint (see note 4 and note 5) Update results in the Complaints, Disputes and Appeals Log. 评审及批准调查结果（见备注 3） 如果调查确定进行暂停或注销的认证决定，将相应地进行操作。 在接收到投诉的 30 个工作日内通知投诉人结果以及调查决定（见备注 4 和 5） 在投诉、争议和申诉日志中更新结果。</p>



COMPLAINT HANDLING PROCESS 投诉处理过程

Document #: GOP216

Release Date: 25-JAN-2019

Page 7 of 9

Document Owner: L. Poulton

Approver: Global VP, Technical Mngment & Quality

12	Trend Analysis 趋势分析	Director – Internal Auditing 内部审计总 监	Analysis report 分析报告	Perform trend analysis quarterly Summary submitted to the Regional Certification Managers and the Global Vice President – Technical Management & Quality 每季度进行趋势分析 向区域认证经理和全球技术管理和质量副总裁 递交分析总结
----	------------------------	--	-------------------------	--

Note 1: In the case of investigation of complaints related to certified/audited clients, the special visit (short Notice or unannounced) is to be conducted in accordance with the requirements of GOP103 – Audit Execution Process or the appropriate customer specific requirements.

备注 1: 针对有关获证/审核客户的投诉的调查, 依照 GOP103 –审核实施过程的相关要求或合适的客户的特殊要求执行特殊审核 (短期通知或非通知)。

Note 2: This investigation may lead to the reduction of scope, suspension or withdrawal of the certification of a certified client. In such a case, the recommendation is to be processed in accordance with the requirements of GOP209 - Suspension and Withdrawal Process

备注 2: 调查可能导致获证客户的认证范围缩减, 认证暂停或注销。针对此类情况, 依照 GOP209-暂停及注销过程的要求进行相应操作。

Note 3: If the Technical Manager has been previously involved with the subject of the complaint, the review and approval will have to be made by the General Manager or higher level management

备注 3: 如果技术经理之前曾包括在该投诉事件之中, 评审和批准将不得不由总经理或更高层管理来做。

Note 4: If the investigation cannot be completed within 30 working days, the complainant will be notified of a new date of completion.

备注 4: 如果调查不能在 30 个工作日内完成, 须通知投诉人一个新的完成日期。

Note 5: In case the result of the complaint investigation is “Claims” from the customer, the maximum liability of the company is refund of the certification/audit fee. If any claim is more than the certification/audit fee received, then the Intertek Group Notification of Incidents and Claims ([Notification of Incidents and Claims](#)) shall be followed.



COMPLAINT HANDLING PROCESS 投诉处理过程

Document #: GOP216

Release Date: 25-JAN-2019

Page 8 of 9

Document Owner: L. Poulton

Approver: Global VP, Technical Mngment & Quality

备注 5: 针对投诉调查结果是来自于客户的“要求”，公司最大的责任是退还认证/审核费用。如果收到任何超出退还认证/审核费用的要求，那么应遵循 Intertek 全球事故和索赔的通知（事故和索赔通知）。

Note 6: Unless a decision is forwarded to the complainant within ten days of receipt of the complaint.

备注 6: 除非在接收投诉后的 10 天内，已将决定发送给了投诉人。

Note 7: For data entry into the Complaints, Disputes & Appeals Log SharePoint, please refer to the document WI216 “Work Instruction for Inputting a Complaint or Dispute from Customer into the Complaints, Disputes & Appeals Log”.

备注 7: 针对录入到 SharePoint 投诉、争议和申诉日志里的数据，请参见文件 WI216“投诉、争议和申诉日志输入客户投诉或争议工作指导书”

Note 8: For the term “Technical Manager” referred to in the above, this may refer to the term “Program Manager” or “Account Manager” in the Supplier Management operation.

备注 8: 针对上述提及的“技术经理”一词，也可以理解为“项目经理”或在 SM 运作管理中所的“客户经理”。

10. JAS-ANZ Specific requirements JAS-ANZ 特定要求

The following requirements apply in the case of complaints:

以下要求适用于此类投诉：

- Issued by clients holding JAS-ANZ certifications
JAS-ANZ 认证客户提出的
- Against clients holding JAS-ANZ certifications
投诉获得 JAS-ANZ 认证的客户

As specified in GOP216-INFO, the complainant may refer the complaint to JAS-ANZ if dissatisfied with the outcome of Intertek’s complaint handling process.

依照 GOP216-INFO 规定，投诉人投诉人如对 Intertek 投诉处理过程的结果不满，可将投诉交付给 JAS-ANZ。

When a complaint is not resolved within the agreed timeframe with the client, the complaint must be escalated to the Global Vice-President Technical Management & Quality.

For information only when printed.

GT001-P / Rev. 5



COMPLAINT HANDLING PROCESS 投诉处理过程

Document #: GOP216

Release Date: 25-JAN-2019

Page 9 of 9

Document Owner: L. Poulton

Approver: Global VP, Technical Mngment & Quality

如果投诉未能在与客户约定的时间内解决，则该投诉必须上升至全球副总裁技术管理与质量部门。

When a complaint is not resolved within three (3) months of the agreed timeframe with the client, the complaint shall be referred to JAS-ANZ. In such a case, the following information is to be provided to JAS-ANZ:

如果投诉未能在与客户约定的三个月内解决，则该投诉应交付给 JAS-ANZ。在这种情况下，将向 JAS-ANZ 提供以下信息：

- A copy of the original complaint
原投诉的复印件
- records of the review of the complaint
投诉的评审记录
- a copy of the response to the complainant
向投诉人做出响应的复印件
- any other records that inform the background to the complaint.
告知投诉相关背景的其他记录。

11. Records

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

所有关于投诉的记录应被记录到投诉、争议和申诉日志并按照 GOP202-记录控制过程进行保持。

REVISION LOG

Revision #	Description of Change	Release Date
8	Addition of references to the terms used in the Supplier Management operation.	25-SEP-2017
9	Addition of section 10 – JAS-ANZ Specific requirements	25-JAN-2019