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**Procedure**

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Complaints and Appeals Handling

投诉和申诉的处理



# Complaints and Appeals Handling

## 投诉和申诉处理



TÜV SÜD Certification and Testing (China) Co., Ltd.

南德认证检测（中国）有限公司

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**Establishment and History of Changes文件生效及修改记录**

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00	--	2018-08-01	Establishment of Document文件生效	Li Tao	Andreas Horn	Dirk von Wahl
01	7	2018-12-17	Relevant document changed document number GCN_CCB_W_15.01 Handling Complaints and Appeals 处理投诉和申诉	Yu Lingfang	Andreas Horn, Li Tao	Li Tao
02	Whole docume nt 全文 档	2019-01-21	Due to changes of organization chart, and ICPA system was change to Reliance sysytem. Modified the contents related to organization chart and ICPA system modification 由于更改了与组织结构图，以及ICPA系统改为Reliance系统。修改了与组织结构图和ICPA系统变更的内容	Yu,Lingfang	Li Tao, Andreas Horn	Li Tao
03	5,7	2019-01-31	Use a new form GCN_CCB_F_15.01ECS 'Complaints Overview'. 使用新创建的表格 GCN_ CCB_F_15.01ECS 《投 诉 总 览 表》。	Yu,Lingfang	Li Tao, Andreas Horn	Li Tao
04	全文档	2021-06-01	Updated the responsibility of handling complaints and appeals into QMR, Changed the contents related to organization chart modification 更新申/投诉的处理相关责任更改了与组织结构图变更相关的内容	Zhang He	Wang Liwei	Wang Liwei

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## 1. Purpose 目的

This procedure is specially developed to effectively and timely handle complaints and appeals regarding certification activities, increase customers' satisfaction and maintain each party's confidence on TÜV SÜD Certification and Testing (China) Co., Ltd (hereafter as TÜV SÜD(China)).

为及时、有效地处理与认证活动相关的申/投诉，增强客户满意度，维护客户及相关方对南德认证检测（中国）有限公司（以下简称南德（中国））及其认证活动的信心，特制定本程序。

## 2. Scope 范围

This procedure is applicable to handling of all complaints and appeals regarding certification activities conducted by TÜV SÜD(China) in related to CRT-CHN.

本程序适用于与南德（中国）认证部门相关认证活动有关的所有申/投诉的处理。

## 3. Definition 定义

Appeals: request TÜV SÜD(China) by applicants for reconsideration of certification decisions of certified product/system/service.

申诉：申请人要求南德（中国）重新考虑被认证的产品、体系或服务的认证决定。

Complaints: a complaint is an expression about the displeasure of a service rendered. The complainant usually has a specific goal with his complaint, e.g. correction, improvement or revision. A complaint is therefore the direct or indirect indication that services provided by TÜV SÜD(China) did not fulfil the expectations or were otherwise unsatisfactory.

投诉：投诉是对所提供服务有不满的一种表达。投诉人通常对其投诉有明确的目的如更正、改进或修订。因此，投诉直接或间接表明南德（中国）提供的服务没有达到预期或令人不满意。

## 4. Responsibility 职责

QMR or personnel designated by QMR. is responsible for handling complaints and appeals or appoint qualified personnel.

质量管理者代表(QMR)或其指定人员负责申诉的处理或聘请合格人员处理。

*Remarks: personnel assigned by QMR is usually QMR of CRT-CHN.*

备注：质量管理代表指定人员通常为认证部门质量管理代表。

## 5. Procedures 程序

### 5.1 Policy for Handling Complaints and Appeals 申/投诉处理的方针

Policy of TÜV SÜD(China) for handling complaints and appeals are: open and positive, timely and effective, impartial and transparent.

南德（中国）处理申/投诉的方针是：开放积极、及时有效、公正透明。

Open and positive: shall treat every complaint and appeal open and effectively;

开放积极：开放、积极的对待每一起申/投诉；



Timely and effective: timely collect and verify all necessary information, timely provide complainant or appellant with the information of handling process and results, solve complaints or appeals effectively as much as possible;

及时有效：及时收集和验证所有必要的信息，及时向投诉人或申诉人提供处理进程和结果的信息，尽最大可能有效地解决申/投诉；

Impartial and transparent: treat every complaint or appeal impartially to make sure process and result are transparent. Personnel who have provided consultancy for the client, or been employed by the client shall not review or approve the resolution of a complaint or appeal for that client within two years following the end of consultancy or employment.

公正透明：公正地对待每一起申/投诉，确保处理过程和结果的透明。曾为客户提供过咨询或曾被客户聘用过的人（包括承担管理职责的人），在结束咨询或聘用关系两年之内，不对申/投诉的解决进行复核或批准。

## 5.2 Acceptance of Complaints and Appeals 申/投诉的受理

Each individual or organization can make complaints to CRT-CHN in TÜV SÜD(China). Complaints can be in written form or in oral.

任何人员或组织都可以就南德（中国）认证部门的认证活动向南德（中国）进行投诉。投诉可以书面方式或口头的方式提出。

Appeals can only be made by certification applicants in formal written form to TÜV SÜD(China). 申诉只能由认证申请人以正式的书面方式向南德（中国）提出。

CRT-CHN is an independent and impartial party in TÜV SÜD(China). All received complaints and appeals in relevant to its activities shall be reported to QMR or personnel designated by QMR immediately, who shall record the information about complaints and appeals in Reliance system or in form "Complaints Overview" (GCN\_CCB\_F\_15.01ECS) and follow up the handling process. Other qualified personnel can also be appointed personnel to handle complaints and appeals.

认证部门是南德（中国）内部独立公正的机构。所有收到与其活动相关的申/投诉都需立刻报告质量管理代表或其指定人员，由其在Reliance系统或《投诉总览表中》(CCB\_F\_15.01ECS)中记录相关信息并处理申投诉，也可指定合格的人员处理申投诉。

Complaints or appeals handling personnel shall inform complainant or appellant that information about complaints or appeals has been received and contact information by fax, letter or e-mail etc..

申/投诉处理人员通过传真、信件或电子邮件等方式告知申/投诉人已收到申/投诉相关信息，以及处理人员的联络信息。

Only personnel who meet following requirements can handle complaints and appeals:

申/投诉处理人员应满足以下条件：

- not involved in the certification activities which have been complained or appealed;  
与被申/投诉的活动无关；
- be familiar with measures and procedures of investigation and handling for complaints or appeals;  
熟悉申/投诉调查和处理的方法与流程；
- be familiar with relevant certification schemes/rules, process, standards and other specific technical requirements.  
熟悉相关的认证方案/实施规则、流程、标准和其他特定的技术要求。

### 5.3 Collection and Verification of Information 信息收集与验证

Complaint and appeal handling personnel shall collect all necessary information for handling complaints and appeals, including application forms, certification contracts, testing records and reports, factory inspection records and reports, products information and technical documents, certification review and decision records, certificate and etc. If necessary, business units which take the evaluation tasks shall provide other relevant necessary information within 2 days.

申/投诉处理人员负责收集所有为解决申/投诉所必需的信息，包括客户申请表、认证合同、检测记录和检测报告、工厂检查记录和报告、产品信息和技术资料、认证复核和决定记录、认证证书等。需要时，可以要求承担评价任务的业务单元及相关人员配合提供有关信息，信息应在两个工作日内提供。

Complaint and appeal handling personnel are responsible for communicating with complainant or appellant, hearing their opinions and collecting relevant information. All the communication shall be done politely, honestly and timely. It is allowed to provide complainant or appellant with investigation progress, but not any conclusive information, declaration, or promise before final conclusions are approved.

申/投诉处理人员应负责与申/投诉申请人进行沟通，听取其意见以及获取相关信息。所有的沟通应当礼貌，真诚和及时地进行。可以向申/投诉申请人提供关于调查的进展情况，但在调查结论批准之前，不应提供任何结论性意见、声明或承诺。

Complaint and appeal handling personnel shall analyze and verify collected information, record the results of analysis and verification in "Complaint Handling Form" (GCN\_QM\_F\_05.02) or Reliance system. If collected information is not enough, further supplementary information shall be added.

申/投诉处理人员对收集的信息进行分析及验证，并将分析和验证的结果记录在《投诉处理表格》（GCN\_QM\_F\_05.02）或Reliance系统中。当收集到的信息不足够时，应进一步补充信息。

Final conclusions and the validity of complaints and appeals should be approved by QMR or personnel assigned by QMR. When critical non-conformity is found, head of CRT-CHN takes place to approve final conclusion.

申/投诉是否有效及最终结论由质量管理代表或其指定人员批准。当发现严重不符合项，由认证部门负责人批准最终结论。

Complaint and appeal handling personnel shall inform complainant or appellant of the outcome and the end of the appeal process to the complainant or appellant in written form.

申/投诉处理人员应以书面方式通知申请人处理的结果和过程的终止。

### 5.4 Follow-Up Measures 后续措施

All valid complaints and appeals shall follow procedure „Control of Non-Conforming Work, Corrective and Preventive Actions“ (GCN\_CCB\_P\_05) to take corrective actions to eliminate root causes of complaints and appeals.

对于所有有效的申/投诉，必须按照《不符合工作及纠正与预防措施管理程序》（GCN\_CCB\_P\_05）的要求采取纠正措施，以消除产生申/投诉的根本原因。

Analyze invalid complaints or appeals, identify possible improving opportunities. If necessary, take corrective or preventive actions to achieve continuous improvement.

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对于无效申/投诉，应进行分析，识别可能的改进机会，必要时也应采取纠正措施或预防措施，以实现持续改进。

Personnel handling complaints and appeals shall report follow-up actions (if any) of complaint and appeal handling results to the QMR.

申/投诉处理人应向质量管理代表或其指定人员报告后续采取的措施（如有）。

## 6. Records 记录

Documents and information which are gained and used during investigation of complaint or appeal shall be kept. Investigation process, results and corrective actions shall be recorded. All documents and records shall be kept by QMR or personnel designated by QMR.

应保留申/投诉调查过程中获得和使用的重要文件和信息，并记录调查过程、处理结果和纠正措施。所有的资料与记录由质量管理者代表(QMR)或其指定人员负责保管。

## 7. Relevant Documents 相关文件

GCN_QM_P_05E	<u>Complaints &amp; Incident Handling</u>
GCN_QM_P_05CS	<u>投诉和突发事件处理</u>
TPS_P_19.01E	<u>Handling complaints, incidents and deviations</u>
GCN_QM_F_05.02E	<u>Complaint Handling Form</u>
GCN_CCB_P_05ECS	<u>CAPA不符合工作及纠正与预防措施管理程序</u>
GCN_CCB_W_15.01ECS	<u>Handling Complaints and Appeals 处理投诉和申诉</u>
GCN_CCB_F_15.01ECS	<u>Complaints Overview 投诉总览表</u>