

华认标准技术服务（苏州）有限公司

CCATS (SuZhou) Co., Ltd

申诉和投诉处理程序

Appeals and complaints procedure

制定修订 Formulate or modify			修订内容摘要 Revision Summary	制定 Formulated	审核 Checked	核准 Approved
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1. 目的 purpose

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本程序规定了对本机构提供的认证服务不满意的客户申诉、投诉的管理方法和要求。

This procedure is developed to ensure that CCATS management system can continually, suitably and effectively meet policy and objective and specified requirements.

2. 范围 scope

本程序适用于所有个人或组织对与本机构的申诉、投诉处理。

This procedure is applicable to handling of appeals/complaints related to CCATS

3. 控制依据 criteria

CNAS-CC01-2015《管理体系认证机构要求》(ISO/IEC 17021-1:2015) Requirements for bodies providing audit and certification of management systems

4. 职责和作业程序 responsibility and operating procedure

4.1 处理原则 disposition principle

华认标准以严谨、公正、非歧视的方式受理、调查和处理来自相关方的申诉、投诉，并对处理过程中的所有决定负责，同时确保参与调查、处理的人员，未参与申诉、投诉的相关活动。CCATS accepts, investigate and dispose appeals, complaints of interested party with preciseness, impartiality and non-discriminatory manner, and is responsible for all the decisions of the process, and ensure the participation of the investigation and handling staff, and participate in the activities related to complaints, complaints.

4.1.1 接到投诉、申诉的本机构任何部门或员工应坦诚地与投诉人交谈，将问题记录在《申诉、投诉处理表》并提交给管理部。管理部应将本文件规定放置于公司网络上，让有需求之人员或组织可公开获取。Any department or employee that receives a appeals, complaints or disputes shall be honestly talk with the complainant, and shall record the issue in the 《appeals, complaints disposition form》, and submit it

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to the management department. The management department shall upload the document in the company's public network, to make it available to the related person or organization.

4.1.2 本机构对申诉处理过程所有阶段的所有决定负责。为体现公正性，申诉和投诉涉及的相关人员和原认证决定人员应该在处理阶段予以回避。The company is responsible for all decisions of all the complaint handling process. In order to reflect the fairness, the relevant personnel and the original certification decision personnel should be avoided in the processing stage of appeals and complaints

4.1.3 申诉的定义为: definition for appeals

指申请方、受审核方或获证组织针对其期望的认证状态有关的不利决定所提出的书面请求。The applicant、auditee or certified client propose the written request about the certification decision which is disadvantage to their expectation

4.1.4 投诉的定义为: definition for complaints

对华认标准及其工作人员和获证客户与认证有关的行为表明不满的书面表示。certified clients' written unsatisfication to the behavior of CCATS and its staffs

4.2 申诉的处理 disposition for appeals

4.2.1 由申请方、受审核方或获证组织提出申诉，填写《申诉、投诉处理表》将传递到审核部处理，在受理、确认与调查申诉过程中应考虑先前类似申诉的结果，然后由管理部决定实行何种措施予以回应。当通知给申诉者之申诉决定时，应由先前未参与申诉主题的人员予以处理，或审查与核准。The applicant、auditee or certified client propose the appeals by filling in 《Appeals、complaints handling list》 which will be transmitted to audit department, audit department will should be consider previous similar complaints during the acceptance, confirmation and investigation of appeals, and then the management department take measures to respond. When the appeals decision is noticed to the appeals person, it shall be handled by the person who has not previously participated in the subject of the appeals in advance.

4.2.2 管理部应告知申诉者申诉处理的进度报告与结果。申诉结果以书面通知方式告知申诉人。如果申诉人对申诉处理结果有异议(认为认证机构未遵守认证相关法律法规或本

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规则并导致自身合法权益受到严重侵害的)，可以直接向其认可机构或所在地认证监管部门或国家认监委提出。Management department should inform the appeals person the handling results in a written notice. If the appeals person has any objection to the handling results(eg: if he think certification body did not comply with the relevant certification rules、 laws and regulations, and caused serious violations to the legitimate rights and interests of their own), Can be submitted directly to its accreditation body or the local certification regulatory authority or CNCA for appeals).

4.2.3 处理申诉的时限为接到申诉者正式的书面投诉资料期 60 天内，包括书面答覆申诉人。The time limit for the processing of the appeals is within 60 days from the date of receiving the formal written appeals, including a written reply to the appeals person

4.2.4 在处理过程中应追踪与记录申诉，包括解决申诉所实行的措施并确保实行任何适当的纠正及纠正措施。the appeals is tracked and recorded in the dealing process, including the measures to resolve the appeals and to ensure the implementation of any appropriate corrective and corrective actions

4.2.5 申诉的提出、调查及决定，不对申诉者造成任何差别对待。The proposal, investigation and decision of the appeal shall not cause any differential treatment to the appeals person

4.3 投诉的处理 disposition for complaints

4.3.1 任何组织或个人对华认标准及其工作人员和获证客户与认证有关的行为表明不满提出的投诉，填写《申诉、投诉处理表》。由管理部确认投诉是否与认证活动有关，经确认有关时予以转交审核部处理。如果投诉与获证客户有关，在调查时应考虑其管理体系的有效性，必要时暂停其认证资格，并在适当时间内对获证客户予以询问。审核部收到处理表后应负责搜集及查证所有必要的信息，以确认投诉。并由管理部通知投诉者受理投诉，并提供投诉者投诉处理的进度报告与结果。Any organization or individual propose his complaints due to unsatisfaction to CCATS and its certified clients about certification related behavior, by filling in 《Appeals、complaints handling

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list》. The management department confirm the whether the complaints is related certification activities, if yes, the complaint will be referred to the audit department. If the complaint is related to certified clients, the effectiveness of the management system should be taken into account in the investigation, if necessary, suspend its certification qualification, and inquire certified customer in the appropriate time. The audit department shall be responsible for the collection and verification of all necessary information to confirm the complaint after the receipt of the processing form. The management department will inform the complainant the progress report and the result of the complaint handling process

4.3.2 如果申诉人对投诉处理结果有异议(认为认证机构未遵守认证相关法律法规或本规则并导致自身合法权益受到严重侵害的，可以直接向其认可机构或所在地认证监管部门或国家认监委提出)。对于 IECQ HSPM，申诉人如果对 CCATS 的处理结果有异议并且双方无法达成一致意见时，可以向 IECQ MC 或 IEC CAB 进行申诉，访问 IECQ 的官方网站 <http://www.iecq.org/about/contactus/> 可以获得相关联络信息。If the complainant disagrees with the results of the complaints handling(he thinks the certification body did not comply with relevant laws and regulations and this caused serious violations of the legitimate rights and interests of their own, Can be submitted directly to its accreditation body or the local certification regulatory authority or CNCA for appeals).

For IECQ HSPM, if the complainant disagrees with the results of CCATS processing and the parties cannot reach an agreement, they can appeal to IECQ MC or IEC CAB and visit the official website of IECQ <http://www.iecq.org/about/contactus> Get contact information

4.3.3 受理投诉时限为接到申诉者正式的书面投诉资料期60天内，包括书面答覆申诉人。管理部应将投诉处理过程的结果，正式通知投诉者。并应与客户及投诉者共同决定，是否将投诉主题及其决议予以公开，以及公开之程度。The time limit for handling complaints is within 60 days from the receipt date of the formal written complaint

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by the complainant, including a written reply to the complainant. The management department shall formally notify the complainant the result of the complaint handling process. And discuss with the client and the complainant whether make public the complaint subject and its resolutions, as well as the extent of the public

4.3.4 获证客户应按照本机构的要求，随时提供对相应投诉所采取措施的记录。The certified clients shall provide the records of the corrective actions taken at any time in accordance with the requirements of certification body

4.4 分析和评估 analysis and evaluation

4.4.1 总部和各办事处将每年 12 月份整理该年度的所产生处理的所有申诉、投诉的处理表，制作成《申诉、投诉全年情况统计表》。提交管理部。In every December, the headquarters and the offices collect all the appeals, complaints occurred in this year, formulated 《Appeals、complaints annual statistics form》，and submit to the management department

4.4.2 管理部经理应在每年管理评审会议中提交统计表汇报。以评估本机构对申诉、投诉处理的有效性。The management department manager shall submit the statistical report to the annual management review meeting. To evaluate the effectiveness of the handling of appeals, complaints

4.4.3 所有的申诉、投诉不因对方为个人或组织而造成任何差别待遇，如不接受投诉方投诉的提出、以及调查决定结果未依证据而偏袒其中一方等。All the Appeals and complaints are regarded and disposed in impartial way, any differential treatment is not allowed.

4.5 费用支付 Payment

4.5.1 经调查确认，申投诉的理由不成立时，因该项申诉、投诉及争议发生的费用由当事人或委托人支付；

It was confirmed by investigation that the fees caused by appeal, compliant and dispute shall be paid by litigant or its agent when the reasons of the appeals and complaints are insufficient.

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4.5.2 经调查确认，申投诉的理由成立，其责任在应诉方，所发生的费用由应诉方支付；

When it was confirmed through investigation that the reason of the appeals and complaints come into existence and the responsibility shall be assumed by respondent, the fees caused by appeals and complaints shall be paid by respondent.

4.5.3 经调查确认，当事人和应诉方均对该项申、投诉负有责任时，则该项发生的费用由双方协商解决。

When it was confirmed through investigation that the litigant and respondent shall be responsible for the appeals and complaints at the same time, the relevant fees shall be paid by negotiation between both sides.

4.6 申投诉联系方式 contact

0512-36626918 ; sam@ccats.org.cn

5. 引用文件 Reference

5.1 《STATEMENT OF SURVEILLANCE ARRANGEMENTS》

6. 使用表单 forms

6.1 《申诉和投诉信息处理表》 Appeals、complaints handling list

6.2 《申诉和投诉处理全年情况统计表》 Appeals、complaints annual statistics form

6.3 《纠正预防措施报告》 corrective and preventive action report