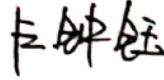


 <b>中平国际</b> ZHONG PING INTERNATIONAL	中平国际认证（深圳）有限公司 Zhongping International Certification (Shenzhen) Co., Ltd.	文件编号 Document number	GK-10
	申诉、投诉和争议处理程序 Grievance, complaint and dispute handling procedures	版 号 Version number	B1

# 申诉、投诉和争议处理程序

## Grievance, complaint and dispute handling procedures

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 生效日期： 2025 年 11 月 21 日  
 Effective Date: November 21, 2025



 <b>中平国际</b> ZHONG PING INTERNATIONAL	中平国际认证（深圳）有限公司 Zhongping International Certification (Shenzhen) Co., Ltd.	文件编号 Document number	GK-10
	申诉、投诉和争议处理程序 Grievance, complaint and dispute handling procedures	版 号 Version number	B1

## 1、目的和适用范围

### 1. Purpose and scope of application

为确保申诉、投诉和争议处理工作的公正、有效，维护与认证工作有关各方的正当权益和本机构的信誉，根据有关法律法规和国际标准，规定了申诉、投诉和争议的处理方式和程序。

In order to ensure the fairness and effectiveness of the handling of appeals, complaints and disputes, and to safeguard the legitimate rights and interests of all parties involved in the certification work and the reputation of the agency, the methods and procedures for handling appeals, complaints and disputes are stipulated in accordance with relevant laws, regulations and international standards.

本程序适用于处理来自申请认证或已获证的组织对本机构的申诉以及任何组织或个人对本机构提出的投诉和争议。本程序也适用于向本机构提出的针对申请认证或已获证的组织的投诉。

This procedure applies to the handling of complaints against the Agency from organizations applying for or having obtained accreditation, as well as complaints and disputes against the Agency from any organization or individual. This procedure also applies to complaints filed with the agency against organizations that are seeking accreditation or have been accredited.

## 2、规范性引用文件

### 2. Normative references

下列文件对本文件的应用是必不可少的。凡是注日期的引用，仅注日期的版本适用于本文件。凡是不注日期的引用文件，其最新版本（包括所有的修改单）适用于本文件。

The following documents are essential for the application of this document. For dated references, only the dated edition applies to this document. For undated references, the latest edition (including all amendments) is applicable to this document.

CNAS-CC01 《管理体系认证机构要求》

CNAS-CC01 Requirements for Management System Certification Bodies

CNAS-R03 《申诉、投诉和争议处理规则》

CNAS-R03 Rules for Handling Appeals, Complaints and Disputes

CNCA-QMS-01:2025 《质量管理体系认证规则》

CNCA-QMS-01: 2025 Rules for Quality Management System Certification

## 3、定义


### 3. Definition

3.1 申诉：申请认证或已获证的组织对本机构做出的，与其期望的认证状态有关的不利决定所提出的重新考虑的书面请求。

3.1 Appeal: a written request for reconsideration by an organization applying for or having obtained accreditation of an adverse decision made by the institution relating to its desired accreditation status.

注：不利决定包括：拒绝接受申请、拒绝继续进行审核/审查、要求采取纠正措施、变更认证范围、不予通过认证、暂停或撤销认证、阻碍获得认证的任何其他措施。

Note: Adverse decisions include: refusal to accept the application, refusal to proceed with the audit/review, request

	中平国际认证（深圳）有限公司 Zhongping International Certification (Shenzhen) Co., Ltd.	文件编号 Document number	GK-10
	申诉、投诉和争议处理程序 Grievance, complaint and dispute handling procedures	版 号 Version number	B1

for corrective action, change in the scope of certification, refusal to pass certification, suspension or withdrawal of certification, and any other action that impedes obtaining certification.

3.2 投诉：任何组织或个人向本机构表达的，有别于申诉并希望得到答复的，对认证机构或申请认证或已获证的组织的活动不满的书面表示。

3.2 Complaint: a written expression of dissatisfaction with the activities of the certification body or the organization applying for or having obtained certification, expressed by any organization or individual to the agency, which is different from the complaint and wishes to receive a reply.

3.3 争议：申请认证或已获证的组织与本机构在审核过程中就认证程序和有关技术问题不同意见的书面表述。

3.3 Dispute refers to the written statement of different opinions on the certification procedure and relevant technical issues between the organization applying for or having obtained the certification and the agency during the audit process.

#### 4、职责

##### 4. Responsibilities

4.1 运营部：负责申诉、投诉和争议的受理与前期调查。

4.1 Operation Department: responsible for the acceptance and preliminary investigation of appeals, complaints and disputes.

4.2 管理者代表：针对申诉、投诉和争议提出处理方案，并代表机构与申诉方、投诉方、其他利益相关方进行协商。

4.2 Management representative: propose solutions to complaints, complaints and disputes, and negotiate with the complaining party, the complaining party and other interested parties on behalf of the organization.

4.3 技术部：负责对申诉事项进行讨论裁定。

4.3 Technical Department: responsible for discussing and ruling on the appeal matters.

4.4 公正性委员会：申诉方、投诉方、其他利益相关方对处理结果不满意时，由公正性委员会负责复议做出处理决定，若再不满意，可提请 CNAS/CNCA/IAS 仲裁。申诉方、投诉方、其他利益相关方也可向 CNAS/CNCA/IAS 投诉。

4.4 Impartiality committee: if the complainant, the complaining party and other interested parties are not satisfied with the handling results, the impartiality committee shall be responsible for reconsidering and making a decision. If they are not satisfied again, they can submit to CNAS/CNCA/IAS for arbitration. Complainant, complainant and other interested parties may also file a complaint with CNAS/CNCA/IAS.


#### 5、申诉、投诉和争议处理原则

##### 5. Principles for handling appeals, complaints and disputes

5.1 机构处理申诉、投诉和争议以事实为依据，以国家相关法律法规、CNAS、IAS 认可规范、机构质量管理体系为准则。

5.1 The organization handles appeals, complaints and disputes on the basis of facts and in accordance with relevant national laws and regulations, CNAS, IAS accreditation standards and the organization's quality management system.

5.2 参与申诉、投诉和争议处理过程的人员对其所获得的任何与申诉、投诉和争议有关的

 <b>中平国际</b> ZHONG PING INTERNATIONAL	中平国际认证（深圳）有限公司 Zhongping International Certification (Shenzhen) Co., Ltd.	文件编号 Document number	GK-10
	申诉、投诉和争议处理程序 Grievance, complaint and dispute handling procedures	版 号 Version number	B1

非公开信息负有保密责任。

5.2 Persons involved in the grievance, complaint, and dispute process are responsible for maintaining the confidentiality of any nonpublic information obtained by them in connection with the grievance, complaint, and dispute.

5.3 参与申诉、投诉和争议处理过程和决定的人员，应保持客观、公正，不应带有歧视性。

5.3 Personnel involved in the process of handling and making decisions on appeals, complaints and disputes shall be objective, impartial and non-discriminatory.

5.4 与申诉、投诉和争议事件有直接利害关系的人员不得参与申诉、投诉和争议的调查和决定。

5.4 Persons who have a direct interest in complaints, complaints and disputes shall not participate in the investigation and decision of complaints, complaints and disputes.

5.5 机构对申诉、投诉和争议处理过程中所做的各类决定负责。

5.5 The agency is responsible for all types of decisions made in the course of handling appeals, complaints and disputes.

## 6、申诉

### 6. Appeal

#### 6.1 申诉受理的范围

##### 6.1 Scope of admissibility of complaints

1) 拒绝受理认证申请；

1) Refuse to accept the certification application;

2) 拒绝继续进行评审；

2) Refuse to continue the review;

3) 要求采取纠正措施；

3) Require corrective action;

4) 变更认证范围；

4) Change the scope of certification;

5) 不予认证，暂停或撤销认证证书；

5) No certification, suspension or revocation of certification certificate;

6) 阻碍获得认证证书的任何其他措施。

6) Any other measure that impedes the obtaining of a certificate of accreditation.


#### 6.2 申诉的提出

##### 6.2 Filing of a complaint

申诉人可向运营部提出申诉，有效的申诉应同时符合以下条件：

The complainant may file a complaint with the Operation Department, and a valid complaint shall meet the following conditions:

1) 申诉人正式递交了书面的《投诉、申诉处理报告》及相关说明（或证明）材料，并加盖公章；

	中平国际认证（深圳）有限公司 Zhongping International Certification (Shenzhen) Co., Ltd.	文件编号 Document number	GK-10
	申诉、投诉和争议处理程序 Grievance, complaint and dispute handling procedures	版号 Version number	B1

1) The complainant has formally submitted the written Report on Handling of Complaints and Appeals and relevant explanatory (or certification) materials, and affixed the official seal;

2) 申诉事项应在申诉受理范围内;

2) The complaint shall be within the scope of acceptance of the complaint;

3) 申诉人应是申诉事宜的直接相关方;

3) The complainant shall be a direct party to the matter complained of;

4) 申诉的提出与收到相关决定或处理措施的时间间隔不超过 10 个工作日。

4) The time interval between the submission of the complaint and the receipt of the relevant decision or handling measures shall not exceed 10 working days.

### 6.3 申诉的受理、调查与处理

#### 6.3 Acceptance, investigation and handling of complaints

1) 机构收到申诉文件后，运营部应立即进行有效性审查，将审查结果书面告知申诉方，同时向管理者代表报告，展开前期调查；

1) After the organization receives the complaint document, the Operation Department shall immediately conduct a validity review, inform the complainant of the review results in writing, and report to the management representative for preliminary investigation;

2) 管理者代表视情况委托技术部组成申诉处理工作组。该工作组应由熟悉国家相关法规、认可规范及与申诉方无利害关系的人组成（实施项目审核和认证决定人员不得参与工作组）；

2) The management representative shall entrust the technical department to form a complaint handling working group according to the situation. The working group shall be composed of persons who are familiar with relevant national laws and regulations, recognized norms and have no interest in the complainant (those who implement project review and certification decisions shall not participate in the working group);

3) 工作组有权采取包括召集会议、听取双方陈述、现场调查、调取书面材料、向专家咨询、参考以前类似申诉的处理结果等措施取证；

3) The working group has the right to take such measures as convening a meeting, listening to the statements of both parties, on-site investigation, collecting written materials, consulting experts, and referring to the results of previous similar complaints to obtain evidence;

4) 需要召开听证会时，技术部负责召集会议，会前应至少提前 5 个工作日将会议的时间、地点通知申诉人。


4) When a hearing needs to be held, the technical department shall be responsible for convening the meeting, and the time and place of the meeting shall be notified to the petitioner at least 5 working days in advance before the meeting.

### 6.4 申诉的裁定

#### 6.4 Determination of the complaint

技术部召集全体会议（实施项目审核、认证决定人员及其他与申诉方有利害关系的人员应回避），以投票方式进行裁决：

The Technical Department shall convene a Plenary meeting (the personnel who implement the project review

	中平国际认证（深圳）有限公司 Zhongping International Certification (Shenzhen) Co., Ltd.	文件编号 Document number	GK-10
	申诉、投诉和争议处理程序 Grievance, complaint and dispute handling procedures	版 号 Version number	B1

and certification decision and other personnel who have an interest in the complainant shall withdraw) to make a ruling by voting:

1) 参与投票人数不应少于技术部全体成员的三分之二；

1) The number of people participating in the voting shall not be less than two-thirds of all members of the Technical Department;

2) 赞成票数达到总有效票数的三分之二以上才能通过。

2) Only when the number of votes in favor reaches more than two-thirds of the total number of valid votes can it be passed.

若技术部不能就申诉裁定形成决议，则应提交给公正性委员会做出最终决定。

If the Ministry of Technology is unable to reach a decision on the determination of the appeal, it shall be referred to the Impartiality Committee for a final decision.

## 6.5 处理结果反馈

### 6.5 Feedback of processing results

1) 申诉应在机构受理后的，应按规定的流程尽快处理完毕；

1) The complaint shall be handled as soon as possible according to the specified procedures after the institution accepts the complaint;

2) 经总经理批准后，运营部应确保在接到申诉 60 日内将处理决定书面通知申诉方；

2) With the approval of the General Manager, the Operation Department shall ensure that the decision is notified to the complaining party in writing within 60 days after receiving the complaint;

3) 如申诉方对处理结果不满，可在接到申诉处理结果通知后 10 日内向公正性委员会

或上级主管部门再次提出申诉。

3) If the complaining party is not satisfied with the result, it may appeal again to the Impartiality Committee or the superior competent department within 10 days after receiving the notification of the result.

## 7、投诉

### 7. Complaints

#### 7.1 投诉受理范围

##### 7.1 Scope of complaint acceptance

1) 涉及机构提供的认证活动或对机构相关人员的投诉；

1) involving the certification activities provided by the institution or complaints against the relevant personnel of the institution;

2) 对已获证或正在申请认证的组织的活动及其人员的投诉，且投诉的内容与认证要求

和认证范围相关；


2) Complaints about the activities and personnel of organizations that have been certified or are applying for certification, and the contents of complaints are related to the certification requirements and scope;

3) 涉及已获证组织的客户的投诉，且投诉内容与认证活动有关。

3) Complaints involving customers of certified organizations, and the content of complaints is related to certification activities.

#### 7.2 投诉的提出

##### 7.2 Filing of Complaints

	中平国际认证（深圳）有限公司 Zhongping International Certification (Shenzhen) Co., Ltd.	文件编号 Document number	GK-10
	申诉、投诉和争议处理程序 Grievance, complaint and dispute handling procedures	版 号 Version number	B1

投诉应以书面形式就投诉所涉事件向机构运营部提出，投诉方须提供所涉事件的细节情况、证明材料并签章。认证委托方、获证组织和其他利益相关方均可对认证活动人员的道德、行为、能力、态度、工作质量提出投诉。

The complaint shall be submitted to the organization operation department in writing about the event involved in the complaint, and the complaining party shall provide the details of the event involved, supporting materials and sign and seal. The certification entrusting party, the certified organization and other interested parties can lodge complaints about the ethics, behavior, ability, attitude and quality of work of the certification activity personnel.

### 7.3 投诉的调查与处理

#### 7.3 Investigation and handling of complaints

1) 通常情况下机构对匿名投诉不予受理，但应留下记录。

1) Generally, the institution shall not accept the anonymous complaint, but shall keep a record.

2) 对人员的投诉，运营部选择熟悉相关法规、认可规范，且独立于投诉事件的人员组成投诉事件调查处理工作组对投诉情况进行调查核实，提出处理方案报管理者代表批准后实施。

2) For complaints from personnel, the Operation Department shall select personnel who are familiar with relevant laws and regulations, recognized specifications and independent of complaints to form a complaint investigation and handling working group to investigate and verify the complaints, and propose a handling plan to be submitted to the management representative for approval before implementation.

3) 对机构最高层的投诉，由公正性委员会对投诉的情况进行调查核实，充分了解投诉涉及事项的全部信息，必要时进行现场调查获取证据。


3) For complaints at the highest level of the organization, the Impartiality Committee shall investigate and verify the complaints, fully understand all the information about the matters involved in the complaints, and conduct on-site investigation to obtain evidence when necessary.

4) 向机构提出的对获证客户投诉，运营部可根据投诉信息的内容和性质，要求获证客户做出书面说明并提交相关证据，必要时运营部组织进行现场调查。对于需要采取纠正措施的，要求获证组织采取措施并报机构，必要时机构可采取现场验证的方式确认获证客户管理体系的有效性。

4) The Operation Department may require the certified customer to make a written explanation and submit relevant evidence according to the content and nature of the complaint information, and organize on-site investigation if necessary. If corrective measures are required to be taken, the certified organization is required to take measures and report to the institution. If necessary, the institution may confirm the effectiveness of the certified customer management system by means of on-site verification.

7.4 处理决定的反馈：运营部或公正性委员会在收到投诉后的 60 日内，完成调查并提出处理意见，报总经理批准后，形成最终决定以书面形式反馈至投诉方。

7.4 Feedback on the handling decision: The Operation Department or the Impartiality Committee shall complete the investigation and put forward the handling opinions within 60 days after receiving the complaint, report to the General Manager for approval, and form a final decision and feed it back to the complaining

	中平国际认证（深圳）有限公司 Zhongping International Certification (Shenzhen) Co., Ltd.	文件编号 Document number	GK-10
	申诉、投诉和争议处理程序 Grievance, complaint and dispute handling procedures	版 号 Version number	B1

party in written form.

7.5 机构将与投诉方共同决定是否应将投诉事项公开，如决定公开时应共同确定公开的程  
度与范围。

7.5 The institution and the complaining party will jointly decide whether the complaint should be made public, and if so, the extent and scope of the disclosure shall be jointly determined.

## 8、争议

### 8. Disputes

#### 8.1 争议的提出

##### 8.1 Raising of a Dispute

1) 在审核过程中提出的争议，一般由审核组长与获证客户依据认可规范协商处理。

对经协商仍不能取得一致意见的，审核组长可做出审核的相关结论，但须将争议的情况在  
10 日内报告运营部。获证客户也可在 10 日内直接向运营部提出争议；

1) The disputes raised in the audit process are generally handled by the audit team leader and the certified customer in accordance with the approved specifications. If no consensus can be reached after consultation, the audit team leader can make relevant audit conclusions, but the dispute must be reported to the Operation Department within 10 days. The certified customer may also directly file a dispute with the Operation Department within 10 days;

2) 在其他场合发生的争议，应在争议所涉及事件发生后 10 日内以书面文件形式向机  
构提出。

2) Disputes arising from other occasions shall be submitted to the institution in written form within 10 days after the occurrence of the event involved in the dispute.

#### 8.2 争议的处理

##### 8.2 Settlement of disputes

1) 运营部组织相关人员研究提交的争议，将研究结果通知争议提出方；

1) The Operation Department shall organize relevant personnel to study the submitted dispute, and notify the disputing party of the study results;

2) 争议的处理应在受理之日起 30 日内结案；

2) The dispute shall be settled within 30 days from the date of acceptance;

3) 争议提出方对处理结果不满意的，可通过本程序关于申诉、投诉的规定向机构提  
出申诉或投诉。


3) If the party raising the dispute is not satisfied with the handling result, it may lodge a complaint or appeal to the institution through the provisions of these Procedures on complaints and appeals.

## 9、纠正措施

### 9. Corrective measures

9.1 对申诉、投诉和争议由责任部门进行原因分析，采取防止再发生的纠正措施，并在实  
施完成后评估其有效性。

9.1 The responsible department shall analyze the causes of appeals, complaints and disputes, take corrective

	中平国际认证（深圳）有限公司 Zhongping International Certification (Shenzhen) Co., Ltd.	文件编号 Document number	GK-10
	申诉、投诉和争议处理程序 Grievance, complaint and dispute handling procedures	版 号 Version number	B1

measures to prevent recurrence, and evaluate their effectiveness after implementation.

9.2 处理申诉、投诉和争议时，涉及文件修改的，应在 15 日内完成。申诉、投诉和争议的处理材料、记录应交综合部归档。

9.2 When handling appeals, complaints and disputes, the modification of documents shall be completed within 15 days. Handling materials and records of appeals, complaints and disputes shall be submitted to the General Affairs Department for filing.

9.3 处理申诉、投诉和争议完毕，应形成《投诉、申诉处理报告》。

9.3 Complaint and Appeal Handling Report shall be formed after the completion of handling of complaints, appeals and disputes.

## 10、相关文件

### 10. Relevant documents

PF-17 《公正性管理控制程序》

PF-17 Impartiality Management Control Procedure

## 11、相关记录

### 11. Relevant records

BG-39 《投诉、申诉处理报告》

BG-39 Complaint and Appeal Handling Report