



申诉、投诉和争议处理规则

Rules for Handling Appeals, Complaints and Disputes



北京赛西认证有限责任公司

CESI Certification Co., Ltd.



1 目的 Purpose

为确保申诉、投诉和争议处理工作的公正、有效，维护与本机构认证/核查工作有关的各方的正当权益和本机构的信誉，本机构依据 CNAS-R03、IEC CA 01、IECQ 01-S、IECQ 02、IECQ 03-1、IECQ03-5 的要求和本机构体系文件规定特制定本规则。

These rules are especially formulated based on CNAS-R03, IEC CA 01, IECQ 01-S, IECQ 02, IECQ 03-1, IECQ03-5 requirements and body's (CESI Certification) system documents regulations to ensure the fair and effective handling of appeals, complaints and disputes, and safeguard the legitimate rights and interests of all parties involved in the certification/verification work and the credibility of the body (CESI Certification).

2 范围 Scope

本规则适用于处理申请认证/核查或已获得认证证书/核查陈述的组织对本机构的申诉以及其他相关方对本机构提出的投诉和争议的处理。本规则也适用于向本机构提出的针对申请认证/核查或已获得认证证书/核查陈述的组织的投诉。

These rules apply to the handling of appeals against the body (CESI Certification) by organization applying for certification/verification or having obtained certification/verification statements, as well as complaints and disputes raised by other interested parties against the body (CESI Certification). These rules also apply to complaints made to the Agency against an organization that has applied for certification/verification or has obtained a certificate/verification statement.

3 定义 Definitions

3.1 申诉：申请认证/核查或已获得认证证书/核查陈述的组织就本机构对其做出的，与其期望的认证/核查状态有关的决定，向本机构提出的重新考虑的书面请求。

Appeal: A written request to the body (CESI Certification) for reconsideration of the its decision regarding the desired certification/verification status.

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，对本机构、机构各业务部门、相关人员、申请认证/核查或已获得认证证书/核查陈述的组织的活动不满的书面表述。

Complaint: A written statement, different from those who complain and want an answer, that any organization or individual expresses dissatisfaction with the body (CESI Certification), business departments, relevant personnel, or the activities of the organization applying for



certification/verification or having obtained a certificate/verification statement.

3.3 争议：申请认证/核查或已获得认证证书/核查陈述的组织与本机构就与认证/核查有关的事宜提出的不同意见的书面表述。主要指当事人对本机构的资质、认证/核查过程中就认证/核查程序或技术问题不同意见的书面表述。

Dispute: A written statement of disagreement between the organization applying for certification/verification or having obtained a certificate/verification statement and the institution on matters related to certification/verification. It mainly refers to the written representation of the party's different opinions on the qualification of the body (CESI Certification), the certification/verification procedures or technical issues during the certification/verification process.

4 申诉、投诉和争议处理原则 Principles of appeals, complaints and disputes

4.1 本机构处理申诉、投诉和争议以事实为依据，以国家相关法律法规、标准/认证、核查规则、CNAS 认可规范、IEC CA 01、IECQ 01-S、IECQ 02、IECQ 03-1、IECQ03-5 及本机构文件为准则。

The body (CESI Certification) handles appeals, complaints and disputes on the basis of facts and in accordance with relevant national laws and regulations, standards/certifications, verification rules, CNAS accreditation norms, IEC CA 01, IECQ 01-S, IECQ 02, IECQ 03-1, IECQ03- 5 and the body's (CESI Certification) documents.

4.2 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、投诉和争议有关的非公开信息负有保密的责任。

Those involved in the appeals, complaints and disputes handling process are responsible for the confidentiality of any non-public information they obtain in relation to appeals, complaints and disputes.

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

Those involved in the process and decision of appeals, complaints and disputes shall be objective, impartial and non-discriminatory.

4.4 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、处理和决定。

Persons directly interested in appeals, complaints and disputes shall not participate in the investigation, handling and decision of appeals, complaints and disputes.



4.5 本机构对申诉、投诉和争议处理过程中所做的各类决定负责。

The body ((CESI Certification)) is responsible for all types of decisions made in the handling of appeals, complaints and disputes.

5 申诉、投诉 appeals, complaints

5.1 申诉受理的范围 Scopes of appeals

a.无正当理由不受理申请的； The application will not be accepted without justifiable reasons;

b.对认证/核查决定有异议，在接到决定之日起三十日内提出申诉的； If there is any objection to the certification/verification decision, the appeal shall be raised within 30 days from the date of receipt of the decision;

c.对暂停、注销或撤消认证资格/核查陈述有异议，在接到决定之日起,三十日内提出申诉的； If there is any objection to the suspension, cancellation or withdrawn of the certification qualification/verification statement, and the appeal shall be raised within 30 days from the date of receipt of the decision;

d.其他。 Others

5.2 投诉处理的范围 Scopes of complaints

a.拖期实施认证审核/检查/核查的； delayed implementationb of certification audit/inspection/verification;

b.对审核/检查/核查人员的资格有异议的； objection to the personnel qualification of ertfication audit/review/verification;

c.对审核/检查/核查组的组成有异议的； objection to the team of ertfication audit/review/verification;

d.对本机构或人员认为有违章行为的； violation of the body (CESI Certification) or body's (CESI) personnel;

e.认为本机构违章收费的； unreasonable charges of the body (CESI Certification)

f.对予以认证的管理体系有异议或对获证企业的产品质量严重不满的，或予以认证产品的标准符合性有异议，或对予以核查的 GHG 陈述有异议； If there is objection to the certified management system or serious dissatisfaction with the product quality of the certified enterprise, or objection to the standard compliance of the certified product, or objection to the GHG statement verified;



g.对认证证书/核查陈述和标志的使用有异议的； Objection to the use of the certificate/verification statement and logo;

h.其他。 Others.

5.3 申诉、投诉的提出 Raising appeals and complaints

申、投诉人应向本机构客户服务部提出申、投诉处理。受理申诉、投诉时限为相关事项发生 30 天内。申诉、投诉应以书面形式提出并经申、投诉方负责人签名盖章后提交本机构。 The appellant and/or complainant shall submit the appeal and complaint to the customer service department of the body (CESI Certification). The time limit for accepting appeals and complaints is within 30 days of the occurrence of relevant matters. Appeals and complaints shall be submitted in writing and submitted to the body (CESI Certification) after being signed and sealed by the director of appellant and/or complainant.

5.4 申诉、投诉的受理 Acceptance of appeals and complaints

客户服务部指派专人受理申诉、投诉，作好记录，并将申、投诉的受理情况书面通知申、投诉人。 The Customer Service Dept. assigns a special person to receive the appeals and complaints, make a record and notify the appellant and/or complainant with a written acceptance of appeals and complaints.

以下情况可导致投诉不予受理： Complaints may not be accepted if:

- 1) 匿名投诉； Anonymous complaint
- 2) 投诉内容超出受理范围； The content of complaint is beyond the scope of acceptance;
- 3) 经确认投诉人提供了虚假信息； Information supplied by the complainant is confirmed false ;
- 4) 投诉的内容线索过于笼统，现有信息无法开展投诉调查的，经联系投诉人不愿意配合本机构或无法提供进一步信息或线索的。 The content and clues of the complaint are too general, the existing information cannot carry out the complaint investigation, and the complainant is unwilling to cooperate with the body (CESI Certification) or unable to provide further information or clues after contacting.

5.5 申诉、投诉的处理 Processing appeals and complaints

5.5.1 根据每次申诉、投诉内容，本机构指定处理负责人，处理方式可以是(但不限于此): According to the content of each appeal and complaint, the body (CESI Certification) designates the person in charge of handling, and the handling method can be (but not limited



to):

- a) 召集有关人员开会进行分析研究； Convene relevant personnel for analysis and research;
- b) 组织工作组进行调查研究； Organizing working groups to conduct research.

5.5.2 本机构应根据实际情况组织与被申诉、投诉对象无利害关系的成员进行研究或组成工作组负责调查。申诉、投诉处理应调查分析申、投诉的问题及原因，包括本机构管理体系中存在的倾向性因素。针对投诉，应确认投诉是否与本机构的认证/核查活动以及是否与获证客户有关。申、投诉处理的措施可以是：With the consieration of the actual situation, the body ((CESI Certification) should organize members who have no interest in the appeal or complaint to conduct research or form a working group to be responsible for the investigation. In handling the appeals and complaints, the problems and causes of the appeals and complaints shall be investigated and analyzed , including the tendentious factors existing in the management system of the institution. In response to complaints, it should be confirmed whether the complaint is related to the certification/verification activities of the body (CESI Certification) and whether it is related to the certified client. The measures for handling applications and complaints can be:

- a) 尽快恢复认证/核查； to reinstate certification/verification as soon as possible;
- b) 预防再发生； to prevent recurrence;
- c) 评审采取的措施有效性； to review the effectiveness of the actions taken;
- d) 相关措施形成文件。 to formulate the measures into documents.

5.5.3 处理负责人对申、投诉进行调查后，填写调查处理情况与结果，公司总经理批准后执行。After processing the investigates, the person responsible for the appeal and complaint will fill in the investigation and handling process and results. The action will be taken after approved by the body's ((CESI Certification) general manager.

处理情况形成包括处理理由、结论的书面材料一式两份。一份由客户服务部指派专人交申诉人，一份留底归档。The written materials including the reasons and conclusions of the processing shall be formed in duplicate. One will be handed over to the complainant by the person assigned by the Customer Service Dept., and the other will be kept for filing.

5.5.4 通常情况下，客户服务部在收到申、投诉后的 60 个工作日内给提出人以书面答复，如遇特殊或复杂情况需要延期时，应经总经理批准，并书面通知申诉、投诉人。Under normal circumstances, the Customer Service Dept. will give the appellant a written reply



within 60 working days after receiving the appeal or complaint. If an extension is required in special or complex situations, it should be approved by the general manager and notify the appellant and complainant in writing.

5.5.5 对获证客户的投诉 Complaint against certified client

5.5.4.1 当投诉涉及到本机构的获证客户时，客户服务部确认投诉是否与本机构的认证/核查活动有关，并在确认有关时予以处理。如果投诉与体系业务获证客户有关，在调查投诉时需考虑获证管理体系的有效性。When a complaint concerns a certified client of the body ((CESI Certification), the Customer Service Dept. confirms whether the complaint is related to the body's certification/verification activities, and will handle it if it really does relate to. If the complaint is related to a management system certified client, the effectiveness of the certified management system shall be considered when investigating the complaint.

5.5.4.2 对于针对获证客户的投诉，客户部负责将相关投诉信息传递给获证客户。ISMS获证客户在收到对其投诉后，应确定投诉的原因，包括由于客户组织的 ISMS 所导致（或诱发）的投诉因素。涉及重大投诉时，获证客户应通过书面方式向本机构报告投诉原因。获证客户应实施调查制定补救和（或）纠正措施，包括以下措施：For complaints against certified client, the Customer Service Dept. is responsible for transfer the relevant complaint information to the certified client. After receiving a complaint, the ISMS certified client shall determine the reasons for the complaint, including the factors that caused (or induced) the complaint due to the client's ISMS. When a major complaint is involved, the certified client shall report the reasons for the complaint to the body ((CESI Certification) in writing. The certified client shall conduct an investigation to develop remedial and/or corrective actions, including the following:

- a) 如法规要求时，通知适当的职权机构； where required by regulation, to notify the appropriate authority;
- b) 恢复符合性； to restore compliance;
- c) 防止再发生； to prevent reoccurrence;
- d) 评价和减小任何负面的安全事件和相关的影响； to evaluate and mitigate any negative security incidents and related impacts;
- e) 确保与其他 ISMS 组成部分的令人满意的互动； to ensure satisfactory interaction with other ISMS components;
- f) 评定所采用的补救和（或）纠正措施的有效性。 to evaluate the effectiveness of



remedial and/or corrective actions taken.

ISMS 获证客户应保存所有投诉和所采取的纠正措施的记录。The ISMS certified client shall maintain records of all complaints and corrective actions taken.

5.5.6 参与申诉、投诉调查、处理和决定的人员均应与申诉、投诉事项无利害关系。一旦存在冲突，应声明并予以回避。Those who participate in the investigation, handling and decision of appeals, complaints shall have no interest in the appeal and complaint. In the event of a conflict, it shall be declared and avoided.

5.5.7 申诉、投诉调查和处理应客观、公正，不应带有歧视性，且对投诉信息来源负有保密责任，未经投诉人同意，不得透露给第三方。Appeals, complaints investigation and handling shall be objective, fair, and non-discriminatory. The confidentiality of the source of complaint information shall be confidential, and shall not be disclosed to third parties without the consent of the appellant and complainant.

5.5.8 通过申诉、投诉的调查和处理过程发现相关认证/核查活动或管理存在不符合或改进空间，本机构将采取措施予以改进。Through the investigation and handling of appeals and complaints, if there is any non-conformity or chance for improvement in relevant certification/verification activities or management, the body (CESI Certification) will take measures to improve

6 争议 Disputes

6.1 争议的提出 Raising disputes

6.1.1 在审核/检查/核查过程中提出的争议，一般由审核/检查/核查组长与受审核/检查/核查方依据国家相关法律法规、标准/认证、核查规则等文件协商处理。对协商不能取得一致意见的，审核/检查/核查组长可做出审核/检查/核查组的相关结论，但须将争议的情况在 10 日内书面报告我机构客户服务部。受审核/检查/核查方也可以在争议 10 日内以书面文件形式向我机构客户服务部提出。

Disputes raised during the audit/inspection/verification process are generally handled by the audit/inspection/verification team leader and the audited/inspected/verified party in accordance with relevant national laws and regulations, standards/certifications, verification rules and other documents. If a consensus cannot be reached through negotiation, the audit/inspection/inspection team leader can make the relevant conclusions of the audit/inspection/inspection team, but the dispute must be reported to the Customer Service Dept. of the body (CESI Certification) in writing within 10 days. The



audited/inspected/verified party can also submit a written document to the Customer Service Dept. of the body (CESI Certification) within 10 days of the dispute occurs.

6.1.2 在其他场合发生的争议，应在争议所涉及的事件发生后 10 日内以书面文件形式向我机构提出。Disputes arising on other occasions shall be submitted to the body (CESI Certification) in writing within 10 days after the occurrence of the events involved in the disputes.

6.2 争议的处理 Processing disputes

客户服务部提出处理负责人，并商相关部门研究提交的争议，处理情况和结果报公司总经理批准后执行，并在收到争议后的 30 个工作日内将争议的处理结果通知争议提出人。争议提出人对处理结果不满意的，可通过申诉、投诉程序向本机构提出申诉或投诉。The Customer Service Dept. proposes the person in charge of handling, and consults with relevant departments to study the submitted disputes, report the handling situation and results to the body's (CESI Certification) general manager for approval, and notify the dispute resolution result within 30 working days after receiving the dispute. If the dispute proposer is not satisfied with the processing result, he may raise an appeal or complaint in accordance with the body's (CESI Certification) appeal and complaint procedure.

7 技术问题及异议情况处理 Processing technical issues and objections

7.1 对涉及技术方面的申诉、投诉和争议处理意见应经技术委员会审议，技术委员会主任批准后执行。Appeals, complaints and disputes on technical matters shall be reviewed by the Technical Committee and implemented after the approval of the director of the Technical Committee.

7.2 若申、投诉人对申、投诉处理工作组或成员提出疑义时，由公司总经理负责更换。If the appellant or the complainant raises doubts about the appeal or complaint handling working group or members, the general manager of the body (CESI Certification) shall be responsible for replacement.

7.3 申、投诉人对本机构的处理结果有不同意见时，可直接向本机构公正性委员会提出申诉，由公正性委员会组织调查处理。If the appellant and the complainant have different opinions on the handling result of the body (CESI Certification), they can directly raise an appeal to the Impartiality Committee of the body (CESI Certification) for which to organize an investigation and handling.



7.4 申、投诉人对公正性委员会的处理结果有不同意见时，可直接向 CNAS 提出投诉，由 CNAS 组织调查处理。涉及 IECQ 认证/核查业务时，可直接向 IECQ MC 及 IEC CAB 提出投诉，由 IECQ 秘书处组织调查处理。投诉可通过访问 IECQ 官方网站 (<https://www.iecq.org>)或发邮件至 info@iecq.org 来实现。

If the appellant and the complainant have different opinions on the handling result of the Impartiality Committee, they may raise a complaint directly to CNAS for which to organize an investigation and handling. When it comes to IECQ certification / verification business, you can directly raise the complaint to IECQ MC and IEC CAB. the IECQ Secretariat will organize investigation and handling. Complaints can be made by visiting the official IECQ website (<https://www.iecq.org>) or by emailing info@iecq.org.

7.5 申、投诉人若认为本机构未遵守认证/核查相关法律法规或国家认监委发布的相关认证规则，并导致其自身合法权益受到严重侵害的，可以直接向所在地认证监管部门或国家认监委投诉，也可以向相关认可机构投诉。

If the appellant or the complainant believes that the body (CESI Certification) has not abided by the relevant laws and regulations of certification/verification or the relevant certification rules issued by CNCA, and has caused serious infringement of its own legitimate rights and interests, they can directly report to the local certification supervision department or CNCA. Complaints can also be lodged with the relevant accreditation body.

7.6 投诉处理完成后，客户服务部与客户及投诉人共同决定是否将投诉事项公开，并共同确定公开的程度及公开的形式。

After the complaint processing is completed, the Customer Service Dept. with client and the complainant jointly decide whether to disclose the complaint issue, and jointly determine the degree of disclosure and the form of disclosure.

8 受理方式 Reception

赛西认证受理电话：010-64102688 4000719000

CESI Reception Tel.:010-64102688 4000719000

地址：北京市安定门东大街 1 号一号楼二层 邮编：100007

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Email: guohong@cesi.cn