

安骐认证服务（上海）有限公司

Anqi Certification Service (Shanghai) Co., Ltd.

申投诉及争议管理程序

Appeal and Complaint and Disputes Process Procedure

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申诉及争议管理程序

Appeal and Complaint and Disputes Process Procedure

1 适用范围 Scope of application

1.1 适用于申请认证或获证客户对本公司人员（包括审核人员、相关人员、分公司人员）违反国家认证法律、法规、认可机构有关规定、不符合认证保密性、公正性和客观性要求的现象和行为，可以提出申诉、投诉、争议。

Applicable to customers who apply for certification or have obtained certification, who may file an appeal or file a lawsuit against our company's personnel (including auditors and related personnel and branch personnel) for violating national certification laws, regulations, and relevant regulations of recognized institutions, as well as for non-compliance with the confidentiality, impartiality, and objectivity requirements of certification.

1.2 覆盖的业务包括：质量管理体系、环境管理体系、职业健康安全管理体系、食品安全管理体系、HACCP 管理体系、测量管理体系、能源管理体系、信息安全管理体系、信息技术服务管理体系、机构研发的备案制 A99 管理体系及已获得批准的服务类认证领域。

The covered services include: Quality Management System, Environmental Management System, Occupational Health and Safety Management System, Food Safety Management System, HACCP Management System, Measurement Management System, Energy Management System, Information Security Management System, Information Technology Service Management System, the institution's registered A99 Management System, and approved service certification areas.

2 职责 responsibility

2.1 总经理是 AQC 对重大申诉和投诉处理结果的批准人。

The General Manager is the approver of major appeals and complaint handling results by AQC.

2.2 管理者代表是申诉、投诉、争议处理的主管领导。

The management representative is the competent leader for handling appeals, complaints, and disputes.

2.3 申诉投诉委员会负责监督申诉及争议处理的公正性、独立性，审核处理流程合规性、受理重大、复杂申诉及争议的最终审议与裁决以及对处理过程中的违规行为提出纠正要求，监督整改。

The Complaints and Appeals Committee is responsible for ensuring the fairness and independence of complaint and dispute resolution processes, reviewing compliance with procedural requirements, conducting final reviews and issuing rulings on major or complex complaints and disputes, identifying and addressing violations during handling, and overseeing corrective actions.

2.4 技术部是申诉、投诉处理的管理部门，每年将处理的申诉投诉情况提交管理评审并报公正性委员会进行审阅。

Technical Department is the management department for handling appeals and complaints. Every year, the handled appeals and complaints are submitted to the management review and submitted to the fairness committee for review.

2.5 公正性委员会负责授权处理对公司管理层的投诉，同时审查申诉、投诉的处理情况，提出意见建议。

The impartiality committee is responsible for authorizing the handling of complaints against the company's

management, reviewing the handling of appeals and complaints, and providing opinions and suggestions.

2.6 市场部负责接收申诉、投诉事件, 并确定是否受理。

The marketing department is responsible for receiving appeals and complaints, and determining whether to accept them.

2.7 各部门配合调查与处理相关的申诉、投诉事件。

All departments cooperate in investigating and handling related appeals and complaints

3 申诉及争议处理原则 Principles for Handling Complaints and Disputes

3.1 与申诉、投诉、争议事件有直接利害关系的, 应当回避。确保处理申诉及争议的人员为该事件的无关人员。

Those who have a direct interest in appeals, complaints, or disputes should avoid them. Ensure that the personnel handling complaints and disputes are unrelated to the incident.

3.2 处理申诉、投诉、争议以事实为依据, 以国家相关法律法规及 AQC 规定为准则。

Handling appeals, complaints, and disputes shall be based on facts and guided by relevant national laws, regulations, and AQC regulations.

3.3 申诉、投诉、争议处理所遵循的原则和程序是非歧视性的, 并以非歧视的方式受理申诉和投诉, 实施调查和做出决定。

The principles and procedures followed in handling appeals, complaints, and disputes are non discriminatory, and appeals and complaints are accepted, investigated, and decisions are made in a non discriminatory manner.

3.4 处理申诉/投诉/争议的工作人员应保持客观公正, 对其所涉及的任何与申诉、投诉、争议有关的非公开信息负有保密的责任, 详见《保密管理程序》。

The staff handling appeals/complaints/disputes should maintain objectivity and impartiality, and bear the responsibility of confidentiality for any non-public information related to appeals, complaints, and disputes, as detailed in the "Confidentiality Management Procedure".

3.5 AQC 应及时、公正、有效地处理申诉(投诉), 采取必要的纠正措施。对申诉(投诉)的处理决定应由与申诉(投诉)事项无关的人员做出, 或经其审核和批准, 并在 60 日内将处理结果书面告知申诉人。

AQC shall handle appeals (complaints) promptly, impartially, and effectively, and implement necessary corrective measures. The decision regarding an appeal (complaint) shall be made by personnel unrelated to the matter in question or approved by them, and the outcome shall be communicated in writing to the appellant within 60 days.

4 申诉投诉范围 Scope of Complaints and Appeals

4.1 申诉范围: Scope of appeals

- a) 拒绝接受申请; Refusing to accept the application;
- b) 拒绝继续进行审核; Refusing to continue the audit;
- c) 要求采取纠正措施; Require corrective measures to be taken;
- d) 变更认证范围; Change the scope of certification;
- e) 不予认证, 暂停或撤销认证; Not authenticating, suspending or revoking authentication;
- f) 阻碍获得认证的任何其他措施。Any other measures that hinder obtaining certification.

4.2 投诉范围: Scope of Complaints

a) 认证申请方或获证组织或其他外部人员对 AQC 的认证政策、运作过程和认证结果及认证人员的表现的不满意;

The dissatisfaction of the certification applicant, certification organization, or other external personnel with AQC's certification policy, operational process, certification results, and the performance of certification personnel;

b) 外部人员对获证组织的产品、认证证书与认证/认可标志的使用的不满意。

External personnel are not satisfied with the use of certified organizations' products, certification certificates, and certification/recognition marks.

4.3 不属于申诉投诉受理范围: Not within the scope of complaint and appeal handling:

a) 已进入法律程序的申诉、投诉。

An appeal or complaint that has entered legal proceedings.

b) 申请人和获证方因民事、经济纠纷引发的申诉、投诉。

Appeals and complaints arising from civil and economic disputes between the applicant and the certified party.

c) 对同一申诉投诉事项已经作出处理, 且没有新情况、新理由的申诉、投诉。

The same complaint has already been handled, and there are no new situations or reasons for appeals or complaints.

d) 证据不全的申诉、投诉。

An appeal or complaint with incomplete evidence.

e) 经过有关部门处理过的申诉、投诉。

Appeals and complaints processed by relevant departments.

5. 申诉投诉及处理程序 Appeal and Complaints Handling Procedures

5.1 申诉 Appeal

5.1.1 申诉的提出 Lodge of appeal

申诉是指申请/接受认证的组织对公司做出的与其期望的认证状态有关的不利决定提出重新考虑的书面要求。(不利决定如: 拒绝接受申请、拒绝继续审核要求, 要求采取纠正措施、变更认证范围, 不予认证、暂停或撤销认证、阻碍获得认证的任何其它措施)。

申请/接受认证的组织应在接到公司的决定或措施后 10 日内向公司提出申诉。申诉方应提交书面申请并说明对公司处理意见提出异议的理由, 并尽可能提交相关证据。申诉应以书面的方式并经申诉方负责人签名盖章后提交给公司市场部。

Appeal refers to a written request from the organization applying/accepting certification to reconsider an adverse decision made by the company related to its expected certification status. (Adverse decisions such as refusing to accept the application, refusing to continue the review request, requiring corrective measures, changing the scope of certification, refusing certification, suspending or revoking certification, or any other measures that hinder obtaining certification).

The organization of applying for/accepting certification shall lodge the appeal to our company within 10 days after receiving our company's decision or actions. The appeal party shall submit a written application and explain

the reasons for disagreeing with the disposal suggestions of our company, and submit relevant evidence as far as possible. The appeal shall be submitted in written and with the signature and seal of manager of appeal party to the Marketing department of AQC.

5.1.2 申诉的受理 Acceptance of appeals

市场部向申诉方确认收到申诉信息, 识别是否接受申诉, 同时在 3 个工作日内告知提出人是否受理并告知不予受理的理由。The marketing department confirms receipt of the appeal information to the complainant, identifies whether to accept the appeal, and informs the proposer within 3 working days whether to accept it and the reasons for not accepting it.

5.1.3 申诉的调查和处理 Investigation and disposition of appeal

5.1.3.1 公司市场部受理申诉后应立即报告总经理, 总经理根据申投诉处理的原则组成申诉处理小组或授权申投诉委员会, 指定申诉决定人, 并向申诉方通报申诉处理小组名单。若申诉方对申诉处理小组成员有异议, 应对申诉处理小组成员进行必要的调整。

Upon receiving a complaint, the company's Marketing Department shall immediately report it to the General Manager. The General Manager shall establish a complaint handling team or authorize a Complaint Committee in accordance with established procedures, appoint a decision-maker, and notify the complainant of the team composition. If the complainant objects to any member of the team, necessary adjustments shall be made to the team membership.

5.1.3.2 申诉处理小组或申诉、投诉委员会采取包括召集听证会议、听取双方提供陈述、现场调查、调取书面文件等。

The Appeal Handling Panel or the Complaints and Appeals Committee may take measures including convening hearings, hearing statements from both parties, conducting on-site investigations, and reviewing written documents.

5.1.3.3 在经调查之后应做出有根据的判断并提出书面处理意见, 填写《客户申诉和投诉调查处理记录》, 提交总经理或管理者代表进行审核批准。

Following the investigation, a well-founded conclusion shall be drawn and written recommendations for action shall be formulated. The "Customer Complaint and Appeal Investigation and Handling Record" shall be completed and submitted to the General Manager or the Management Representative for review and approval.

5.1.3.4 公司申诉处理小组或申诉投诉委员会及时将最终处理意见以书面形式将进展情况报告形式通知申诉方和公司责任部门。

AQC's complaint handling team or the Complaints Committee shall promptly notify the complainant and the responsible department of the final decision in writing, accompanied by a progress report.

5.1.3.5 申诉方对最终处理意见表示满意时, 技术部负责监督执行。

When the complainant expresses satisfaction with the final decision, the Technical Department is responsible for overseeing its implementation.

5.1.3.6 申诉方如对最终处理意见不满意时, 可向国家认证认可监督管理机关进行申诉或投诉。申诉方不能将安骐认证的措施/决定向认可机构申诉。

When complaining parties don't satisfy the response from AQC, they shall lodge appeal or complain to national certification supervision department. complaining parties can not appeal decisions to accreditation body.

5.2 投诉 Complaint

5.2.1 投诉的提出 Lodge of complaint

5.2.1.1 任何组织或个人向公司正式表达的对 AQC 的认证政策、运作过程和认证结果及认证人员的表现, 对获证组织的产品、认证证书与认证/认可标志的使用的不满, 一般应是署名的书面声明或可证实的口头声明。

Any organization or individual's formal expression of dissatisfaction with AQC's certification policy, operational process, certification results, and the performance of certification personnel to the company, as well as dissatisfaction with the use of the certified organization's products, certification certificates, and certification/recognition marks, should generally be a signed written statement or a verifiable oral statement.

5.2.1.2 投诉应就投诉所涉及的事件(在该事件发生以后一个月内)向本公司市场部提出, 投诉人须提供所投诉事件的细节情况、证明材料。通常情况下, 本公司不受理匿名投诉。

Complaints shall be proposed in written to Marketing department for involved incidents of this complaint (within a month after the incident), the complainant shall provide the incident details and evidence with signature. Generally, our company shall not accept the anonymous complaints.

5.2.2 投诉的受理

市场部门收到投诉文件或口头投诉记录后, 登记填写《客户申诉和投诉处理登记表》, 并报告管理者代表, 可能时与投诉方确认收到的投诉信息。判断投诉是否与 AQC 的认证活动有关, 经确认有关后予以处理, 若投诉与获证客户有关时, 应在调查时考虑获证管理体系的有效性, 同时考虑在适当的时间将投诉告知该客户。

After receiving complaint documents or verbal complaint records, the marketing department shall register and fill out the "Customer Complaint and Complaint Handling Registration Form", and report it to the management representative. If possible, confirm the received complaint information with the complainant. Determine whether the complaint is related to AQC's certification activities and handle it after confirmation. If the complaint is related to a certified customer, the effectiveness of the certified management system should be considered during the investigation, and the customer should be informed of the complaint at an appropriate time.

5.2.3 投诉的调查和处理 The investigation and disposition of complaints

5.2.3.1 收到投诉后, 管理者代表根据投诉内容进行分级处理。投诉授权投诉处理小组或申诉、投诉委员会。组织相关部门和人员, 开展对该投诉事件的调查和取证。对重大投诉立即报告总经理和管理者代表; 其中对公司管理层的投诉, 应由公正性委员会主任授权组成申诉投诉委员会处理。

Upon receiving a complaint, the management representative categorizes it according to its nature and assigns appropriate handling procedures. The complaint is then referred to the Complaint Handling Team or the Complaints and Appeals Committee for resolution. Relevant departments and personnel are mobilized to investigate the incident and collect evidence. Major complaints are reported immediately to the General Manager and the Management Representative; complaints involving company management must be handled by a Complaints and Appeals Committee authorized by the Chairman of the Integrity Committee.

5.2.3.2 如被投诉的是经公司认证的组织, 应与该组织取得联系, 要求该组织对投诉的问题做出书面说明, 并提交相关证据。必要时, 公司将进行现场调查。调查时还应考虑客户管理体系的有效性, 如要求客户采取适当的纠正和纠正措施, 如证实客户的管理体系的有效性存在问题时, 将涉及缩小、暂停或撤销客

户的认证证书。

If the complaint aims to the organization which has been certified by our company, it shall contact with the organization and require it to make written explanation for the problems of this complaint, and submit the relevant evidence. If necessary, our company shall conduct on-site investigation. It shall also consider the effectiveness of customer's management systems on the process of investigation, such as requiring customer to take appropriate corrections and corrective actions. If the management system of client does not be implemented effectively, it shall be involved in the certification reducing, suspension or withdrawal for certificate.

5.2.3.3 如投诉的问题属于公司的问题, 由公司对投诉情况进行调查核实, 必要时, 进行现场调查。

If the problem of complaint is the responsibility of our company, the investigation and verification on the complaint shall be carried out by our company, and the on-site investigation shall be conducted if necessary.

5.2.3.4 技术部按照投诉的内容和性质, 根据投诉文件提供的线索, 充分收集、核实与投诉有关的一切信息, 必要时进行现场调查获取证据, 并保持记录。

The Technology Department shall, based on the content and nature of the complaint and the clues provided in the complaint document, thoroughly collect and verify all relevant information related to the complaint; conduct on-site investigations when necessary to obtain evidence; and maintain proper records.

5.2.3.5 技术部应将处理结果形成书面记录《客户申诉和投诉调查处理记录》, 报总经理或授权人审批。可能时, 将结果以不损害有关方保密性的方式正式通知投诉方, 并保存相关记录, 整理归档。投诉事项的公开与否及公开程度由投诉处理部门与客户及投诉方共同决定。投诉的提交、调查和决定不应造成针对投诉人的任何歧视行为。

The Technology Department shall prepare a written record of the handling results titled "Customer Complaint and Appeal Investigation and Handling Record" and submit it to the General Manager or authorized representative for approval. Where feasible, the results shall be formally communicated to the complainant in a manner that does not compromise confidentiality, with relevant records properly preserved and archived. The decision regarding whether to disclose a complaint and the extent of disclosure shall be jointly determined by the complaint handling department, the customer, and the complainant. The submission, investigation, and resolution of complaints must not involve any discriminatory treatment against the complainant.

5.2.3.6 投诉方对最终处理意见表示满意时, 技术部负责人负责监督执行。如被投诉的是公司认证的组 织, 对于需要采取纠正预防措施, 公司应要求该组织采取纠正预防措施并报公司技术部。技术部对认证组织提交的纠正预防措施的可行性进行确认。必要时, 公司将对认证组织的纠正预防措施的有效性进行现场验证。

When the complainant satisfies the final handling suggestions, the manager of the Integrated Finance Department shall responsible for surveillance and implementation. If the complaint aims to the organization which has been certified by our company, it shall require this organization to take corrective and preventive actions for relevant contents and report it to technical department. The technical department shall confirm the feasibility of submitted corrective and preventive actions. If necessary, AQC will make the on-site verification the effectiveness of corrective and preventive actions.

5.2.3.7 当投诉方不满意所得到的答复时, 可以向公司提出申诉, 或向认可机构或国家认证认可监督管理机关进行申诉或投诉。申诉方有权对安骐认证的措施/决定向认可机构进行投诉。

When complaining parties don't satisfy the response from AQC, they shall lodge appeal to our company or

lodge appeal or complaint to national I certification supervision department. They are entitled to complain about AQC's actions / decisions to accreditation body.

5.2.3.8 AQC 对投诉处理过程各层级的决定负责。

AQC is responsible for making decisions at all levels of the complaint handling process.

5.3 记录及保密 Records and Confidentiality

5.3.1 申诉/投诉处理小组将调查过程的记录移交技术部, 由其负责整理归档。

The Complaint Handling Team will submit the records of the investigation process to the Technical Department, which is responsible for organizing and archiving them.

5.3.2 处理申投诉的工作人员和委员会应对相关未公开的信息负有保密的责任。

The staff handling complaints and the committee shall be responsible for maintaining confidentiality regarding any relevant non-public information.

5.4 申诉和投诉是可能存在不符合的一种信息源, 管理者代表、各部门负责人应组织分析不符合产生的原因, 并在适当时采取纠正措施, 具体流程见 AQC-CX-06 《纠正和纠正措施控制程序》。

Complaints and reports may serve as sources of nonconformities. Management representatives and department heads shall analyze the root causes of such nonconformities and implement corrective actions when appropriate, in accordance with the procedures outlined in AQC-CX-06 "Corrective and Corrective Action Control Procedures".

5.5 申投诉处理应受理之日起 60 天内办结, 如不能按期办结应写明延时理由并由公司总经理批准。

The complaint handling should be completed within 60 days from the date of acceptance. If it cannot be completed on schedule, the reason for the delay should be stated and approved by the company's general manager.

6 争议 Dispute

6.1 争议的提出 Proposal of disputes

6.1.1 在审核过程中发生的争议, 一般由审核组长与受审核方依据认证审核的争议, 一般由审核组长与受审核方依据认证要求处理。对经协商仍不能取得一致意见的, 审核组长可代表审核组做出结论, 但应将争议的情况在 10 个工作日内报告 AQC 审核部。受评审方也可以在 10 个工作日内将争议的事项向 AQC 提出。Disputes arising during the audit process are generally handled by the audit team leader and the audited party based on certification requirements. If consensus cannot be reached after consultation, the audit team leader may make a conclusion on behalf of the audit team, but the disputed situation should be reported to the AQC audit department within 10 working days. The reviewed party may also raise the disputed matter to AQC within 10 working days.

6.1.2 在其他场合发生的争议, 相关方应在争议所涉及事件发生后 10 个工作日内以书面文件形式向 AQC 提出。

Disputes arising in other occasions shall be raised by the relevant parties in writing to AQC within 10 working days after the occurrence of the disputed event.

6.2 争议的处理 settlement of disputes

AQC 负责指定有关部门或人员研究提交的争议, 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, 可以通过申诉、投诉程序向 AQC 提出申诉或投诉。

AQC is responsible for designating relevant departments or personnel to study and submit disputes, and notifying



the dispute proposer of the dispute resolution results within 30 working days after receiving the dispute. If the dispute proposer is not satisfied with the handling result, they can file an appeal or complaint with AQC through the appeal or complaint procedure.

7 申投诉及争议处理联系方式 **Contact Information for Complaints and Dispute Resolution**

联系电话: 021-58386686 /021-58385655

公司地址: 上海市浦东新区建韵路 500 号 4 幢五层 507 室

AQC's Address: Room 507, 5th Floor, Building 4, No.500 Jianyun Road, Pudong New Area, Shanghai

邮箱: shaqrz@163.com

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