



苏州莱标标准认证有限公司
Suzhou LQA Standard Certification Co., Ltd.

投诉、申诉控制程序
SOP for Appeals and Complaints

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投诉、申诉控制程序

SOP for Appeals and Complaints

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A1	结合 CNCA 最新要求进行改版 Revision in combination with the latest requirements of CNCA	2020.05.06	王正谷	夏劫清	
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B1	增加 IECQ 02 对申诉的要求	2021.1.10	王正谷	夏劫清	
C0	1.根据 IECQ 评审不符合, 进行修订 According to NCR from IECQ office assessment, revised the sentence 2.文件格式调整, 使用新文件格式 Update the format	2022.9.20	高辉	周延冲	

1 目的 Purpose:

为确保申诉、投诉和争议处理工作的公正、有效,维护与本机构认证工作有关各方的正当权益和本机构的信誉,依据 ISO/IEC 17021-1, ISO/IEC 17000, CNAS-R03 和 IECQ 02 的要求制定本程序。

This procedure is established in accordance with CNAS-R03, IECQ 02, ISO/IEC 17021-1 and ISO/IEC 17000 for handling appeals, complaints and disputes in order to ensure the impartiality and effectiveness of appeals, complaints and disputes, and maintain the legitimate rights and interests of all parties involved in the certification activities and the reputation of LQA.

2 范围 Scope:

适用于处理申请认证或已获得认证证书的组织对本机构的申诉以及其他相关方对本机构提出的申、投诉的处理。

This SOP is applicable to handling the appeal to LQA by a certification applicant, or an organization having been granted a certificate, and to handling the appeals or complaints to LQA by an interested parties on a certification application or an issued certificate.

3 定义 Definition:

3.1 申诉: 申请认可或获准认证的组织对 LQA 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: Request by a certification applicant, or an certified organization that provides the object of conformity assessment to LQA for reconsideration of a decision it has made relating to that object.

3.2 投诉: 任何组织或个人向 LQA 表达的,有别于申诉(3.1)并希望得到答复的,对 LQA、申请认可或获准认证机构的活动不满的书面表示。

3.2 Complaint: expression of dissatisfaction, other than appeal(3.1), by any person or organization to LQA , relating to the activities of that body, where a response is expected.

3.3 争议: 申请认证或获得认证证书的组织与本机构就与认证有关的事宜提出的不同意见的书面表述。主要为对本机构的资质、认证过程中就认证程序或认证技术问题不同意见的书面表述。

3.3 Dispute: an expression of different opinions on certification activities raised by a certification applicant or a certified organization. It mainly refers to the qualification and the certification procedure or certification technical aspects of LQA.

4 职责 Duty:

4.1 业务部负责对申诉、投诉和争议的受理,跟踪处理结果,并给反馈方通报处理结果。

Marketing dept is responsible for accepting appeals, complaints and disputes, following up their handling, and communicating results with the applicants

4.2 技术委员会（技术部）负责审批与技术有关的处理意见。

Technical committee (Technical Dept) is responsible for reviewing and approving the handling opinions related to technical aspects.

4.3 总经理负责批准申诉、投诉和争议处理结果。

General Manager is responsible for approving the results of appeals, complaints and disputes.

5 程序 Procedure:

5.1 处理原则

5.1 principle

5.1.1 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/ 认证规则、CNAS 认可规范，IECQ 02 程序规则，ISO/IEC17021-1 及本机构文件为准则。

5.1.1 LQA handles appeals, complaints and disputes by true evidence approach in accordance with relevant national laws and regulations, standards/certification rules, CNAS rule, IECQ 02, ISO/IEC17021-1 and the LQA procedures.

5.1.2 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。

5.1.2 Personnel involved in the process of appeal, complaint and dispute resolution shall be responsible for keeping confidential any non-public information related to appeal, complaint and dispute they have obtained.

5.1.3 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。

5.1.3 The personnel involved in the process and making decision of appeals, complaints and disputes shall be objective, impartiality and nondiscriminatory.

5.1.4 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。一旦存在冲突，应声明并予以回避。有直接利害关系包括：两年内曾为申诉、投诉提出人提供过咨询或曾被其聘用过或担任过管理职责的；有实施涉及申诉、投诉的认证活动（审核、检查、认证决定等）。

5.1.4 Persons with direct interests in appeals, complaints and disputes shall not participate in the investigation, handling and decision making of those issues. In the event of a conflict, it should be

declared and avoided. those direct interests refer to the following: within two years, having provided consultation for the appellant or complaint, or having been employed by held managerial responsibilities; having implemented certification activities related to appeals and complaints (audit, inspection, certification decisions, etc.)

5.1.5 在申诉、投诉和争议的提出、调查和决定, 均不应造成针对申请人的任何歧视行为。

5.1.5 The submission, investigation and decision making of the appeal, complaint or dispute shall not result in any discrimination against the applicant.

5.2 申诉、投诉

5.2 Appeal and complaint

5.2.1 申诉受理的范围

5.2.1 Scope of appeal acceptance

a. 无正当理由不受理申请的;

a. Rejecting the appeal application without justifiable reasons

b. 对认证决定有异议, 在接到决定之日起 10 个工作日内提出申诉的;

b. Having an objection to the certification decision and appealing within 30 working days from the date of receiving the decision;

c. 对暂停、注销或撤消认证资格有异议, 在接到决定之日起, 10 个工作日内提出申诉的;

c. Having an objection to the suspension, cancellation or withdrawal of the certificate and filing an appeal within 30 working days from the date of receipt the decision;

d. 其他。

d. Other.

5.2.2 投诉处理的范围

5.2.2 Scope of complaint handling

a. 拖期实施认证审核/检查的;

a. Delayed implementation of certification audit / inspection;

b. 对审核/检查人员的资格有异议的;

b. Having any objection to the qualification of audit / inspection personnel;

c. 对审核/检查组的组成有异议的;

c. Any objection to the composition of the audit / inspection team;

d. 对认证机构或人员认为有违章行为的;

d. Believing that the certification body or personnel have violated the regulations;

e. 认为认证机构违章收费的;

e. Believing that the certification body charges not by the rules;

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;

f. Having any objection to the certified management system or serious dissatisfaction with the product quality of the certified enterprise, or any objection to the conformity of the certified product against relevant specifications.

g. 对认证证书和标志的使用有异议的;

g. Having objections to the use of certificates and authorized logos;

h. 其他。

h. Other.

5.2.3 申诉、投诉的提出

5.2.3 Submission of appeal and complaint

申、投诉人应向本机构业务部提出申、投诉处理。受理申诉、投诉时限为相关事项发生 10 个工作日内。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。

Appellant and complainant shall submit their appeal or complaint to the Marketing dept. The time limit for accepting appeals and complaints is within 10 working days after the occurrence of relevant matters. Any appeals and complaints shall be in written and submitted to LQA with signature and seal of applicant.

5.2.4 申诉、投诉的受理

5.2.4 Acceptance of appeals and complaints

业务部受理申诉、投诉, 在《客户申诉/投诉/争议处理单》作好记录, 并将申、投诉的受理情况书面通知申、投诉人。以下情况可导致投诉不予受理:

Marketing dept accepts an appeals and complains, records in the handling form, and notifies the applicant in writing of the acceptance of appeals or complains. The following cases may be rejected:

1) 匿名;

1) Anonymous;

2) 内容超出受理范围;

2) Exceeds the acceptance scope;

3) 虚假信息;

3) false information;

4) 内容线索过于笼统, 现有信息无法开展投诉调查的。经联系, 申投诉人不愿意配合本机构或不提供进一步信息或线索的。

4) The content clues are too general, or the key information is lack , or the applicant is unwilling to cooperate, or no further information or clues.

5.2.5 申诉、投诉的处理

5.2.5 Handling of appeals and complaints

5.2.5.1 根据申诉、投诉内容, 业务部移交技术部或其它相关部门处理申投诉, 技术部或其它相关部门应及时处理(不超过30个工作日)。处理方式可以是(但不限于此):

5.2.5.1 According to the contents of the appeal or complaint, Marketing dept shall transfer it to the technical dept or other relevant dept to deal with this case, and the dept involved shall deal with it in a timely manner (no more than 30 working days). The processing method can be (but not limited to):

a) 召集有关人员开会进行分析研究;

a) Convene relevant personnel for study and analysis;

b) 组织工作组进行调查研究。

b) Organize a working group to conduct investigation and study.

5.2.5.2 申诉、投诉处理部门应了解申诉、投诉涉及到的组织或任何其它方(如提供咨询服务的人员), 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。

5.2.5.2 The handling dept shall know the applicant organizations or any other parties involved in the case (such as the personnel providing consulting services), and organize the person who have no interest in the object of the appeal and complaint to conduct study or form a team to investigate.

5.2.5.3 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活动以及是否与获证客户有关,在调查投诉时应考虑获证管理体系的有效性。申、投诉处理的措施可以是:

5.2.5.3 The appeal or complaint handling shall investigate and analyze the problems and causes of the issue, including the tendentious factors existing in the management system of LQA. In response to the issue, it shall confirm whether the issue is related to the certification activities of LQA and the certified organization. The effectiveness of the certified management system shall be considered when investigating the issue. Appeal and complaint handling measures can be:

- a) 尽快恢复认证;
- a) Reinstatement certification as soon as possible;
- b) 预防再发生;
- b) Prevent recurrence;
- c) 评审采取的措施有效性;
- c) Review the effectiveness of action taken;
- d) 相关措施形成文件。
- d) Relevant measures are documented.

5.2.5.4 处理负责人填写《客户申诉/投诉/争议处理单》的调查处理情况与结果,报公司总经理/管理者代表批准后执行。处理情况形成包括处理理由、结论的书面材料一式两份。一份由业务部提交申诉人,一份留底归档。

5.2.5.4 The person in charge of handling shall fill << Customer Appeal/Complaint/Dispute Handling Form>> with investigation and results, and submit it to General Manager for approval. The prepared documents including the reasons and conclusions of the handing shall be prepared in duplicate. One copy shall be submitted to the applicant by Marketing dept, and the other copy shall be kept for filing.

5.2.5.5 通常情况下,业务部在收到申、投诉后的 60 个工作日内给申诉、投诉提出人以书面答复。如遇特殊或复杂情况需要延期时,应经总经理批准,并说明情况,书面通知申诉、投诉人。

5.2.5.4 Generally, Marketing dept shall give a written reply to the applicant within 60 working days after receiving an appeal or complaint. In case of special or complex circumstances requiring an extension, it shall be approved by General Manager, explain the reason, and notify the applicant in written.

5.2.6 对获证客户的投诉

5.2.6 Complaints against certified organization

5.2.6.1 当投诉涉及到本机构的获证客户时, 技术部确认投诉是否与本机构的认证活动有关, 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。

5.2.6.1 When the complaint involves the certified organization by LQA, the technical dept shall verify whether the complaint is related to the certification activities. If the complaint is related to LQA certification on its management system, the effectiveness of the certified management system shall be considered when investigating this complaint

5.2.6.2 对于针对获证客户的投诉, 业务部负责将相关投诉信息传递给获证客户。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:

5.2.6.2 For complaints against certified organization, Marketing dept is responsible for transmitting relevant complaint information to certified organization. In case of major complaint, the certified organization shall report the cause of complaint to LQA in writing. The certified organization shall conduct investigation and develop correction and/or corrective action, including the following action:

- a) 如法规要求时, 通知适当的职权机构;
- a) Notify appropriate authorities if required by regulations;
- b) 纠正;
- b) Correction;
- c) 防止再发生;
- c) Prevent recurrence;
- d) 评价和减小任何负面的安全事件和相关的影响;
- d) Evaluate and reduce any negative safety incidents and related impacts;
- e) 评定所采用的补救和(或)纠正措施的有效性。
- e) Evaluate the effectiveness of the correction and / or corrective action taken.

5.2.7 通过申诉、投诉的调查和处理过程发现相关认证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。

5.2.7 Through investigation and handling of appeals and complaints, any nonconformity or opportunity

for improvement in relevant certification activities or management is found. LQA shall take further actions for them.

5.2.8 涉及受理、处理申诉、投诉的人员,对涉及投诉人和投诉事项的方面相关信息,应严格执行《保密制度》规定。

5.2.8 Personnel involved in accepting and handling appeals and complaints shall strictly observe the provisions of confidentiality for information related to appeals and complaints.

5.3 争议

5.3 dispute

5.3.1 争议的提出

5.3.1 Submission of disputes

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

5.3.1.1 Disputes raised during the audit / inspection process shall be solved through negotiation between the audit / inspection team leader and the audited/inspected party in accordance with relevant national laws and regulations, standards / certification Rules and other documents. If no agreement can be reached through negotiation, the audit / inspection team leader can make relevant conclusions of the audit / inspection team, but must report the dispute to Market dept in writing within 10 working days. The audited/inspected party may also submit a written document to Market dept within 10 days of the dispute.

5.3.1.2 其他的争议,应在争议所涉及的事件发生后 10 个工作日内以书面文件形式向我机构提出。

5.3.1.2 Other disputes shall be submitted to LQA in written document within 10 working days after the event involved occurs.

5.3.2 争议的处理

5.3.2 Settlement of disputes

5.3.2.1 业务部提出处理负责人,并商相关部门研究提交的争议。处理负责人填写“客户申诉/投诉/争议处理单”的处理情况与结果,业务部报公司总经理/管理者代表批准后执行。

5.3.2.1 Marketing dept proposes a person to be in charge of handing the disputes and discuss the dispute submitted with relevant departments. This person in charge of handling shall fill in the handling status and results of the <<customer appeal / complaint / dispute handling form>>, and Marketing dept shall report it to General Manager for approval before implementation.

5.3.2.2 业务部在收到争议后的 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。

5.3.2.2 Marketing dept shall notify the dispute proposer of the settlement result of the dispute within 30 working days after receiving the dispute. If the dispute proposer is not satisfied with the handling result, they may appeal or complain to LQA through the appeal and complaint procedures.

5.4 技术问题及异议情况处理

5.4 Handling of technical issues and objections

5.4.1 对涉及技术方面的申诉、投诉和争议处理意见应送技术部审议, 技术部填写“客户申诉/投诉/争议处理单”相关内容, 严重争议可提交技术委员会审议, 并经总经理批准。

5.4.1 Appeals, complaints and dispute handling opinions involving technology shall be submitted to the technology department for review. The technology department shall fill in the relevant contents of the "customer appeal / complaint / dispute handling form". Serious disputes can be submitted to the Technical Committee for review and approved by the general manager.

5.4.2 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工作组或成员。

5.4.2 If the applicant or the complainant raises doubts about the application or complaint handling working group or members, General Manager shall be responsible for re-assignment of the resource.

5.5 其他 Other

5.5.1 如果申请人对 LQA 的处理结果有不同的意见时, 他们可以将其问题提交给 CNAS 和或 IECQ MC 和或 IEC CAB

5.4.3 When the applicant has different opinions on the handling results of LQA they can escalate their issue to CNAS and or IECQ MC and or IEC CAB.

5.5.2 LQA 审核员/人员负责在现场审核期间通知客户申诉过程和沟通方案。申投诉渠道包括:

LQA auditors/personnel are responsible for informing the clients of the appeal process and communication options during the on-site audit. Below are the communication paths::

LQA <http://www.lqa-cert.com/> Email: info@lqa-cert.com
 IECQ <https://www.iecq.org/> Email: info@iecq.org
 CNAS <https://www.cnas.org.cn/>
 CNCA <http://www.cnca.gov.cn/>

5.5.3 申诉、投诉和争议事项处理完成后,业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。

5.4.6 After the appeal, complain or dispute issue is solved, Marketing dept and organization and applicant decide together whether this issue is disclosed to public, and determine the level and type of disclosure.

6 相关文件 Related documents:

无

7 记录 Record:

序号 SN	表格编号+版本号 Form No (w/ Version No)	中文记录名 Record name in Chinese	英文记录名 Record name in Chinese
1	LQA-JL-07-01-02	客户申诉/投诉/争议处理单	Customer Appeal/Complaint/Dispute Handling Form