

## 对索要信息的请求、申诉和投诉处理规定

### Provisions on the handling of requests, appeals and complaints for information

#### 1 索要信息的请求

##### A request for information

##### 1.1 索要信息的范围主要包括：

The scope of asking for information mainly includes:

- a) 认证实施规则;
- A) Rules for the implementation of certification;
- b) 认证证书状态及真伪查询;
- B) Inquire about the status and authenticity of the authentication certificate;
- c) 审定/核查结论及真伪查询;
- C) Examination/verification conclusion and authenticity inquiry;
- d) 与认证、审定/核查有关的过程资料。
- D) Process information related to certification, validation/verification.

##### 1.2 索要信息的请求回复管理流程

Request for information reply management process

##### 1.2.1 索要信息的请求回复流程：

Request response process for information:

组织向机构提出请求→机构合规中心受理→回复

The organization makes a request to the institution → the institution compliance center accepts it → replies.

##### 1.2.2 索要信息的请求回复要求

Request for information reply requirements

##### 1.2.2.1 常规信息请求处理

General Information Request Processing

对于组织收到的信息索取请求，应首先进行保密性评估：

For the information request received by the organization, the confidentiality should be evaluated first:

- 如涉及保密信息，须按 CILQC UD-14 《信息保密管理程序》相关规定执行
- If confidential information is involved, it shall be implemented in accordance with the relevant provisions of CILQC UD-14 Information Confidentiality Management Procedure.
- 非保密信息应在收到请求后 7 个工作日内予以正式回复
- Non-confidential information shall be formally replied within 7 working days after receiving the request.

#### 1.2.2.2 监管信息请求处理

regulatory information request processing.

对于监管部门提出的信息索取要求，应按照以下原则处理：

Requests for information made by regulatory authorities shall be handled in accordance with the following principles:

- 优先处理监管要求
- Give priority to regulatory requirements.
- 遵循监管部门规定的时间节点
- Follow the time node specified by the regulatory authorities.
- 确保所提供信息的准确性和完整性
- Ensure the accuracy and completeness of the information provided.

## 2 申诉

### complaints

#### 2.1 受理申诉的范围主要包括：

The scope of accepting complaints mainly includes:

a) 涉及 TiCert. 认证审核、审定/核查结论；

A) conclusions related to TiCert. certification audit, validation/verification;

b) 涉及 TiCert. 对获证组织暂停、撤销认证资格；

B) It involves TiCert. suspending or revoking the certification qualification of the certified

organization;

c) 涉及 TiCert. 认证审核、审定/核查等有关活动的合法性、公正性;

C) The legality and impartiality of the activities related to the certification review, validation/verification of TiCert.;

d) 涉及获证组织的社会信息 (包括: 媒体公布、行业主管部门监督稽查结果等)

D) Social information related to the certified organization (including: media announcement, supervision and inspection results of the competent department of industry, etc.)

## 2.2 申诉的管理流程

management process of complaints

### 2.2.1 申诉流程:

Appeal process:

组织向 TiCert. 提出申诉 → 公司受理 → 调查 → 裁定 → 提出处理意见 → 客户确认 → 分析问题原因 → 提出改正措施 → 实施改正措施 → 验证措施效果.

The organization lodged a complaint with TiCert. → the company accepted it → investigated it → ruled it → put forward handling opinions → customer confirmed it → analyzed the cause of the problem → proposed corrective measures → implemented corrective measures → verified the effect of the measures.

申诉的提出、调查和决定不应造成针对申诉人的任何歧视行为。

The filing, investigation and decision of the complaint should not lead to any discriminatory behavior against the complainant.

### 2.2.2 申诉的调查和处理

Investigation and handling of complaints

2.2.2.1 当获证组织对 TiCert. 做出的认证状态有关的决定有异议, 可随时向 TiCert. 以书面的形式提出申诉, TiCert. 不接受匿名申诉。若对 TiCert. 关于申诉处理的结果不满意, 可在收到申诉处理结果 30 个工作日内向 TiCert. 合规中心提出申诉。

when a certified organization disagrees with the decision made by TiCert. on the certification status, it can lodge a written complaint with TiCert. at any time. TiCert. does not accept anonymous complaints. If you are not satisfied with the result of the complaint handling of TiCert., you can lodge a complaint with the compliance center of TiCert. within

30 working days after receiving the complaint handling result.

2.2.2.2 合规中心在接到申诉后，可采取各种措施收集取证所有必要的信息并进行验证已确定申诉是否被证实，包括召集会议、听取双方证词、现场调查、向专家咨询等做出有根据的判断。同时应该以书面的形式向申诉人确认收到了申诉。

After receiving the complaint, the Compliance Center can take various measures to collect and collect all necessary information and verify whether the complaint has been confirmed, including convening a meeting, listening to the testimony of both parties, on-site investigation, consulting experts and making an informed judgment. At the same time, the complainant should be confirmed in writing that he has received the complaint.

2.2.2.3 听证会议应在接到申诉的 20 个工作日内举行，至少提前 5 个工作日通知申诉人会议的时间和地点。

The hearing meeting shall be held within 20 working days after receiving the complaint, and the complainant shall be informed of the time and place of the meeting at least 5 working days in advance.

2.2.2.4 申诉处理负责人和申诉方均有权提出证人，所提出的证人姓名和地址，应在不迟于会议召开前 3 个工作日书面提出。

The person in charge of complaint handling and the complainant have the right to present witnesses, and the names and addresses of the witnesses presented shall be presented in writing not later than 3 working days before the meeting.

2.2.2.5 合规中心应对申诉处理过程进行跟踪和记录，包括为解决申诉而采取的措施。

Compliance Center shall track and record the complaint handling process, including the measures taken to solve the complaint.

2.2.2.6 在处理申诉过程中，合规中心部可以通过电话或者邮件向申诉人提供申诉处理的进展报告和结果。

In the process of handling complaints, the Compliance Center Department can provide the complainant with the progress report and results of complaint handling by telephone or email.

2.2.2.7 申诉方如对最终处理意见不满意时，认为认证机构未遵守认证相关法律法规并导致自身合法权益受到严重侵害，可直接向相关认可机构、所在地认证监管部门或国家认证认可监督管理委员会进行申诉或投诉。

If the complainant is not satisfied with the final handling opinion, and thinks that the

certification body has not complied with the relevant laws and regulations on certification, resulting in serious violation of its legitimate rights and interests, it can directly appeal or complain to the relevant accreditation body, the local certification regulatory authority or the national certification and accreditation regulatory authority.

### 2.3 申诉的裁定

#### Determination of complaints

2.3.1 合规中心应公正判断，应由未卷入所涉问题的个人作出，或由其复核及批准。所有成员均受认可文件的约束。对申诉做出的裁定应书面通知有关各方，该裁定具有约束力。

The Compliance Center shall make fair judgments, which shall be made by individuals who are not involved in the issues involved, or reviewed and approved by them. All members are bound by the approval document. The ruling on the appeal shall be notified to the parties concerned in writing and shall be binding.

2.3.2 自申诉提交后在 30 个工作日内，必须对申诉做出决定，在例外情况下可提交 TiCert.公正性委员会做出最终决定。特殊情况处理需延期，由总经理或管理者代表批准。

within 30 working days after the complaint is submitted, a decision must be made on the complaint, and in exceptional circumstances, it can be submitted to the fairness Committee of TiCert. for final decision. Special circumstances need to be postponed, which shall be approved by the general manager or management representative.

2.3.3 TiCert.应将申诉处理过程描述向任何相关方公开，调查和申诉决定不应导致任何歧视性行为，申诉处理结束正式通知申诉人。

TiCert. shall disclose the description of the complaint handling process to any interested party, and the investigation and complaint decision shall not lead to any discriminatory behavior, and the complainant shall be formally notified when the complaint handling is completed.

2.3.4 TiCert.对申诉处理过程的所有层次的决定负责。

TiCert. is responsible for all levels of decisions in the complaint handling process.

## 3 投诉

### complaints

#### 3.1 投诉的提出

##### Complaint submission

任何组织或个人均可以通过电话、函件等任何途径向本公司投诉认证实施的有关问题（例如：对公司的方针、运作过程和认证结果及认证人员的表现不满意或对获证组织的产品、认证证书与认证/认可标志的使用不满意），原则上应在该事件发生以后 30 日内，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。

Any organization or individual can complain to our company about the implementation of certification through any means, such as telephone, letter, etc. (for example, they are dissatisfied with the company's policy, operation process and certification results, the performance of Certification staff, or the use of products, certification certificates and certification/accreditation marks of certified organizations), and in principle, they should provide the details and supporting materials of the complained events within 30 days after the incident. Under normal circumstances, our company does not accept anonymous complaints.

投诉处理流程:组织向 TiCert.提出投诉 → 公司受理 → 调查 → 裁定 → 提出处理意见 → 客户确认 → 分析问题原因 → 提出改正措施 → 实施改正措施 → 验证措施效果。

Complaint handling process: organize to lodge a complaint with TiCert. → company accept → investigation → adjudication → put forward handling opinions → customer confirmation → analyze the cause of the problem → propose corrective measures → implement corrective measures → verify the effect of the measures.

### 3.2 投诉的调查和处理

#### Investigation and handling of complaints

3.2.1 信息发现部门有责任必须于第一时间在《认证活动反馈信息处理单》上登记相关信息，并立即报告给本部门负责人。本部门负责人应在 1 小时内收集、核实、验证相关信息，以确定投诉是否被证实，签字确认后，提交合规中心处理。

It is the responsibility of the information discovery department to register relevant information in the Certification Activity Feedback Information Processing Sheet at the first time and report it to the person in charge of the department immediately. The person in charge of this department shall collect, verify and verify the relevant information within 1 hour to determine whether the complaint is confirmed, and submit it to the Compliance Center for handling after signing for confirmation.

3.2.2 合规中心收到投诉后，应确认投诉是否与认证审核活动有关，如果有关，应启动流程解决该投诉。合规中心在《认证活动反馈信息处理单》签字确认后，并予当日内应立即上报公司管理者代表审核，并经总经理审批。

After receiving the complaint, the Compliance Center shall confirm whether the complaint is related to the certification audit activities, and if so, it shall start the process to solve the complaint. After the Compliance Center signs the Certification Activity Feedback Information Processing Sheet, it shall immediately report it to the management representative of the company for review and approval by the general manager.

3.2.3 如投诉的理由成立，合规中心依据审批意见组成申投诉处理工作组。参与投诉处理过程的人员应保证没有实施投诉涉及的审核，也没有做出投诉涉及的认证决定，参与人员应与投诉事项无关。

If the reasons for the complaint are established, the Compliance Center will form a complaint handling working group according to the examination and approval opinions. The personnel involved in the complaint handling process shall ensure that the audit involved in the complaint has not been carried out and the certification decision involved in the complaint has not been made, and the participants shall have nothing to do with the complaint.

3.2.4 如投诉的理由不成立，合规中心依据审批意见撤销投诉。

If the reasons for the complaint are not established, the Compliance Center will cancel the complaint according to the examination and approval opinions.

3.2.5 合规中心依据审批意见在次日内起草完成《认证活动反馈信息公告》，必要时可上传至机构信息管理系统予以公示，同时启动调查程序。

The Compliance Center completes the Announcement of Feedback Information of Certification Activities within the next day according to the examination and approval opinions, and can upload it to the institutional information management system for publicity when necessary, and start the investigation procedure at the same time.

3.2.6 合规中心在公告发布之日起二周内对投诉事件进行调查、取证及核实，并形成投诉调查报告。不管何时，合规中心应确认已收到投诉，并向投诉方提供结果，及适用时，提供进展报告。

The Compliance Center shall investigate, collect evidence and verify the complaints within two weeks from the date of announcement, and form a complaint investigation report. At any time, the Compliance Center shall acknowledge receipt of the complaint and provide the complainant with the results and, if applicable, a progress report.

3.2.7 如被投诉的问题是属于与公司认证审核活动有关，合规中心要求责任部门负责人应在公告发布之后在规定的时间内完成提交《纠正/预防措施报告》。

If the complained problem is related to the company's certification and audit activities, the Compliance Center requires the person in charge of the responsible department to



complete the submission of the Corrective/Preventive Measures Report within the specified time after the announcement.

3.2.8 投诉解决应由与投诉本身无关的人员作出，或由其复核和批准。如被投诉的问题是针对合规中心，合规中心应遵循回避原则，由信息发现部门负责人直接提交总经理，由总经理指定专人对投诉内容进行调查。

The settlement of a complaint shall be made by a person who has nothing to do with the complaint itself, or reviewed and approved by it. If the complaint is directed at the Compliance Center, the Compliance Center shall follow the principle of avoidance, and the person in charge of the information discovery department shall directly submit it to the General Manager, who shall designate a special person to investigate the complaint.

3.2.9 如被投诉的是经公司认证的组织，合规中心向该组织以书面形式通知，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。调查时还应考虑认证组织管理体系的有效性，如要求认证组织采取适当的纠正和纠正措施，如证实该组织的管理体系的有效性存在问题时，将涉及缩小、暂停或撤消该组织的管理体系认证。

If the organization being complained is certified by the company, the Compliance Center shall notify the organization in written form, requiring the organization to make a written explanation of the complaint and submit relevant evidence. When necessary, the company will conduct on-site investigation. The investigation should also consider the effectiveness of the management system of the certification organization. If the certification organization is required to take appropriate corrective and corrective measures, if it is confirmed that there is a problem with the effectiveness of the management system of the organization, it will involve reducing, suspending or revoking the certification of the management system of the organization.

3.2.10 调查方式可包括召集听证会议、听取双方提供陈述、现场调查、调取书面文件等。对于需要召集听证会议的，合规中心在召开听证会时间的前 10 天将会议的时间、地点通知投诉双方及有关各方。双方均有权在不迟于听证会召开前 5 日提出有关证人的姓名和地址。

The investigation methods may include convening a hearing meeting, listening to statements provided by both parties, on-site investigation, and obtaining written documents. If it is necessary to convene a hearing meeting, the Compliance Center will notify the complaining parties and relevant parties of the time and place of the meeting 10 days before the time of convening the hearing. Both parties have the right to submit the names and addresses of relevant witnesses no later than 5 days before the hearing.

3.2.11 申投诉处理工作组在收到合规中心提交的投诉调查报告三日内应做出有根据的分析与判断，



并提出书面处理意见，提交管理者代表审核，并经总经理批准。

The complaint handling working group shall make an informed analysis and judgment within three days after receiving the complaint investigation report submitted by the Compliance Center, and put forward written handling opinions, which shall be submitted to the management representative for review and approved by the general manager.

3.2.12 合规中心依据批准后的处理意见，在次日内完成起草《处理公告》，必要时上传公司信息管理系统予以公示，并及时将公告以书面形式通知投诉方。

The Compliance Center shall, according to the approved handling opinions, complete the drafting of the Handling Announcement within the next day, upload it to the company's information management system for publicity when necessary, and notify the complainant in writing in time.

3.2.13 投诉方对最终处理意见表示满意时，合规中心负责监督对最终处理意见的落实。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的，公司应要求该组织采取纠正预防措施报合规中心。合规中心（必要时，会同技委会）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 is satisfied with the final handling opinion, the Compliance Center is responsible for supervising the implementation of the final handling opinion. If the organization complained is certified by the company, the company shall require the organization to take corrective and preventive measures and report them to the Compliance Center. The Compliance Center (together with the Technical Committee when necessary) shall confirm the feasibility of the corrective and preventive measures submitted by the certification organization. When necessary, the company shall conduct on-site verification of the effectiveness of the corrective and preventive measures of the certification organization.

3.2.14 投诉方如对最终处理意见不满意时，可以向公司提出复审，公司合规中心将该投诉提交至公正性委员会进一步调查、复审，如认为认证机构未遵守认证相关法律法规并导致自身合法权益受到严重侵害，可直接向相关认可机构、所在地认证监管部门或国家认证认可监督管理机关进行投诉。

If the complainant is not satisfied with the final handling opinion, he can file a re-examination with the company, and the Compliance Center of the company will submit the complaint to the fairness committee for further investigation and re-examination. If he thinks that the certification institution has not complied with the relevant certification laws and regulations, resulting in serious violation of his legitimate rights and interests, he can directly file a complaint with the relevant accreditation institution, the local certification

regulatory authority or the national certification and accreditation regulatory authority.

3.2.15 调查和申诉决定不应导致任何歧视性行为，公司应将申诉处理过程描述向任何相关方公开。

The investigation and appeal decision shall not lead to any discriminatory behavior, and the company shall disclose the description of the complaint handling process to any interested party.

## **4 记录与保密**

### **Records and confidentiality**

4.1 合规中心应保存所有申投诉、争议以及与认证有关的补救措施的记录。

The Compliance Center shall keep records of all complaints, disputes and remedial measures related to certification.

4.2 处理申投诉的工作人员应对相关未公开的信息负有保密的责任。

The staff handling complaints shall be responsible for keeping the relevant undisclosed information confidential.

## **5 费用支付**

### **Payment of expenses**

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。

After investigation, it is confirmed that the reason for the complaint is not valid, and the expenses arising from the complaint, complaint and dispute shall be paid by the parties or the client.

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。

After investigation, it is confirmed that the reason for filing the complaint is established, and the responsibility lies with the respondent, and the expenses incurred shall be paid by the respondent.

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。

If it is confirmed through investigation that both the parties and the respondent are responsible for the claim and complaint, the expenses incurred shall be settled by both parties through consultation.