

对索要信息的请求、申诉、投诉和争议处理规定

Provisions for Handling Requests for Information, Appeals, Complaints and Disputes

1 索要信息的请求 Requests for information

1.1 索要信息的范围主要包括： The scope of requests for information mainly includes:

- 认证实施规则； Certification implementation rules;
- 认证证书状态及真伪查询； Inquiry into the status and authenticity of certification certificates;
- 审定/核查结论及真伪查询； Validation/verification conclusions and authenticity inquiry;
- 与认证、审定/核查有关的过程资料。 Process documentation related to certification, validation and verification.

1.2 索要信息的请求回复管理流程

Management process for responding to requests for information

1.2.1 索要信息的请求回复流程： Process for responding to requests for information:

申请方向机构提出请求→机构合规中心受理→回复

The applicant submits a request to the organization → The organization's Compliance Centre accepts the request → Response

1.2.2 索要信息的请求回复要求 Requirements for responding to requests for information

1.2.2.1 常规信息请求处理 Handling of routine information requests

对于机构收到的信息索取请求，应首先进行保密性评估：

For information requests received by the organization, a confidentiality assessment shall first be conducted:

- 如涉及保密信息，须按 Ti P08 《信息保密管理控制程序》相关规定执行
- If confidential information is involved, it shall be handled in accordance with the relevant provisions of Ti P08 "Information Confidentiality Management Control 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 responded to within 7 working days after receiving the request

1.2.2.2 监管信息请求处理 Handling of regulatory information requests

对于监管部门提出的信息索取要求，应按照以下原则处理：

For information requests from regulatory authorities, they shall be handled in accordance with the following principles:

- 优先处理监管要求 Prioritize handling of regulatory requirements
- 遵循监管部门规定的时间节点 Follow the time nodes specified by 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 Appeals

2.1 受理申诉的范围主要包括： The scope of accepting appeals mainly includes:

a) 涉及本机构认证审核、审定/核查结论；

Involving the certification audit, validation/verification conclusions of this organization;

b) 涉及本机构对获证组织暂停、撤销认证资格；

Involving the suspension or withdrawal of certification status of certified organizations by this organization;

c) 涉及本机构认证审核、审定/核查等有关活动的合法性、公正性；

Involving the legitimacy and impartiality of certification audit, validation/verification and other related activities of this organization;

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）。

Involving social information of certified organizations (including: media announcements, supervision and inspection results of competent industry authorities, etc.).

2.2 申诉的管理流程 Management process for appeals

2.2.1 申诉流程：Appeal process:

组织向机构提出申诉 → 公司受理 → 调查 → 裁定 → 提出处理意见 → 申诉方确认 → 分析问题原因 → 提出纠正措施 → 实施纠正措施 → 验证措施效果。

The organization submits an appeal to the organization → The company accepts → Investigation → Determination → Proposal of handling opinions → Confirmation by the appellant → Analysis of the cause of the problem → Proposal of corrective actions → Implementation of corrective actions → Verification of the effectiveness of the actions.

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 determination of an appeal shall not result in any discriminatory act against the appellant.

2.2.2 申诉的调查和处理 Investigation and handling of appeals

2.2.2.1 当获证组织对本机构做出的认证状态有关的决定有异议，可随时向机构以书面形式提出申诉，本机构不接受匿名申诉。若申诉方对本机构关于申诉处理的结果不满意，可在收到申诉处理结果 30 个工作日内向机构合规中心提出复审。

When a certified organization disagrees with a decision made by this organization regarding certification status, it may submit an appeal in writing to the organization at any time. This organization does not accept anonymous appeals. If the appellant is not satisfied with the result of the appeal handling by this organization, it may request a review from the organization's Compliance Centre within 30 working days after receiving the appeal 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以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 an appeal, the Compliance Centre may take various measures to collect and obtain evidence of all necessary information and perform verification to determine whether the appeal is substantiated, including

convening meetings, hearing testimonies from both parties, conducting on-site investigations, consulting experts, etc., to make a well-founded judgment. At the same time, it shall confirm receipt of the appeal to the appellant in writing.

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。

A hearing meeting shall be held within 20 working days after receiving the appeal, and the appellant shall be notified 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。

Both the person responsible for appeal handling and the appellant have the right to propose witnesses. The names and addresses of the proposed witnesses shall be submitted in writing no later than 3 working days before the meeting is held.

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。

The Compliance Centre shall track and record the appeal handling process, including the measures taken to resolve the appeal.

2.2.2.6 在处理申诉过程中，合规中心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。

During the appeal handling process, the Compliance Centre may provide the appellant with progress reports and results of the appeal 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 appellant is not satisfied with the final handling opinion and considers that the certification body has failed to comply with relevant certification laws and regulations, resulting in serious infringement of its own legitimate rights and interests, it may directly file an appeal or complaint with the relevant accreditation body, the local certification regulatory authority or the national certification and accreditation supervisory authority.

2.3 申诉的裁定 Determination of appeals

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 Centre shall make an impartial judgment, which shall be made by, or reviewed and approved by, individuals not involved in the issue in question. All members are bound by the accreditation documents. The determination made on the appeal shall be notified in writing to the relevant parties, and this determination 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本机构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。

A decision on the appeal must be made within 30 working days from the date the appeal is submitted. In exceptional circumstances, the matter may be submitted to the organization's Impartiality Committee for a final decision. Extensions required for handling special circumstances shall be approved by the General Manager or Management Representative.

2.3.3 本机构应将申诉处理过程向任何相关方公开，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。

This organization shall make the appeal handling process 公开 to any interested party. The investigation and appeal determination shall not lead to any discriminatory acts. Upon completion of the appeal handling, the appellant shall be formally notified.

2.3.4 本机构对申诉处理过程的所有层次的决定负责。

This organization is responsible for decisions at all levels of the appeal handling process.

3 投诉 Complaints

3.1 投诉的提出 Filing of complaints

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，且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 may complain to the company about issues related to the implementation of certification through any means such as telephone, letter, etc. (for example, dissatisfaction with the company's policies, operational processes, certification results and performance of certification personnel, or dissatisfaction with the products of certified organizations, the use of certification certificates and certification/accreditation marks). In principle, complaints should be filed within 30 days after the occurrence of the event, and details of the complaint and supporting evidence must be provided. As a general rule, the company does not accept anonymous complaints.

投诉处理流程：组织向机构提出投诉 → 公司受理 → 调查 → 裁定 → 提出处理意见 → 投诉方确认 → 分析问题原因 → 提出纠正措施 → 实施纠正措施 → 验证措施效果。

Complaint handling process: The organization files a complaint with the organization → The company accepts → Investigation → Determination → Proposal of handling opinions → Confirmation by the complainant → Analysis of the cause of the problem → Proposal of corrective actions → Implementation of corrective actions → Verification of the effectiveness of the actions.

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，以确定投诉是否成立，签字确认后，提交合规中心处理。

The department that discovers the information has the responsibility to register the relevant information on the "Certification Activity Feedback Information Handling Form" immediately and report it to the head of the department without delay. The head of the department shall collect, verify and validate the relevant information within 1 hour to determine whether the complaint is substantiated. After signing for confirmation, it shall be submitted to the Compliance Centre for handling.

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，并于当日应立即上报公司管理者代表审核，并经总经理审批。

After receiving a complaint, the Compliance Centre shall confirm whether the complaint is related to certification audit activities. If it is related, it shall initiate the process to resolve the complaint. After signing for confirmation on the "Certification Activity Feedback Information Handling Form", the Compliance Centre shall

immediately report it to the company's Management Representative for review and approval by the General Manager on the same day.

3.2.3 如投诉的理由成立，合规中心依据审批意见组成投诉处理工作组。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 grounds for the complaint are substantiated, the Compliance Centre shall form a complaint handling working group based on the approval opinions. Personnel involved in the complaint handling process shall ensure that they have not performed the audit involved in the complaint nor made the certification decision involved in the complaint, and shall have no connection with the complaint matter.

3.2.4 如投诉的理由不成立，合规中心依据审批意见终止投诉处理。

If the grounds for the complaint are not substantiated, the Compliance Centre shall terminate the complaint handling based on the approval opinions.

3.2.5 合规中心依据审批意见在 1 个工作日内起草完成《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。

Based on the approval opinions, the Compliance Centre shall draft and complete the "Certification Activity Feedback Information Announcement" within 1 working day. If necessary, it may be uploaded to the organization's information management system for public notice, and the investigation procedure shall be initiated at the same time.

3.2.6 合规中心在公告发布之日起两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 Centre shall investigate, obtain evidence and verify the complaint within two weeks from the date of issuance of the announcement, and prepare a complaint investigation report. At all times, the Compliance Centre shall confirm receipt of the complaint and provide the result to the complainant and, where applicable, progress reports.

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 issue complained of is related to the company's certification audit activities, the Compliance Centre shall require the head of the responsible department to complete and submit the "Corrective/Preventive Action Report" within the specified time after the announcement is issued.

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 resolution of the complaint shall be made by, or reviewed and approved by, personnel not involved in the complaint itself. If the issue complained of is directed at the Compliance Centre, the Compliance Centre shall follow the principle of recusal. The head of the department that discovered the information shall directly submit it to the General Manager, who shall designate a specific person to investigate the complaint content.

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、暂停或撤销该组织的管理体系认证。

If the complaint is against an organization certified by the company, the Compliance Centre shall notify the

organization in writing, requiring it to provide a written explanation of the issue complained of and submit relevant evidence. If necessary, the company shall conduct an on-site investigation. The investigation shall also consider the effectiveness of the certified organization's management system. If the certified organization is required to take appropriate correction and corrective actions, and if it is confirmed that there are problems with the effectiveness of the organization's management system, this may involve reducing the scope, suspending or withdrawing the management system certification 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。

Investigation methods may include convening hearing meetings, hearing statements from both parties, conducting on-site investigations, retrieving written documents, etc. For matters requiring a hearing meeting, the Compliance Centre shall notify the complainant and respondent and relevant parties of the time and place of the meeting 10 days before the hearing meeting is held. Both parties have the right to propose the names and addresses of relevant witnesses no later than 5 days before the hearing meeting is held.

3.2.11 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, within three days after receiving the complaint investigation report submitted by the Compliance Centre, make a well-founded analysis and judgment, propose written handling opinions, submit them to the Management Representative for review, and obtain approval from the General Manager.

3.2.12 合规中心依据批准后的处理意见，在 1 个工作日内完成起草《处理结果公告》，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。

Based on the approved handling opinions, the Compliance Centre shall complete the drafting of the "Handling Result Announcement" within 1 working day. If necessary, it shall be uploaded to the company's information management system for public notice, and the announcement shall be promptly notified to the complainant in writing.

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送合规中心。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 expresses satisfaction with the final handling opinion, the Compliance Centre is responsible for supervising the implementation of the final handling opinion. If the complaint is against an organization certified by the company, and corrective and preventive actions are required, the company shall require the organization to take corrective and preventive actions and submit them to the Compliance Centre. The Compliance Centre (together with the Technical Committee, if necessary) shall confirm the feasibility of the corrective and preventive actions submitted by the certified organization. If necessary, the company shall conduct on-site verification of the effectiveness of the certified organization's corrective and preventive actions.

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，如投诉方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投诉。

If the complainant is not satisfied with the final handling opinion, it may request a review from the company. The company's Compliance Centre shall submit the complaint to the Impartiality Committee for further investigation and review. If the complainant believes that the certification body has failed to comply with relevant certification laws and regulations, resulting in serious infringement of its own legitimate rights and interests, it may directly file a complaint with the relevant accreditation body, the local certification regulatory authority or the national certification and accreditation supervisory authority.

3.2.15 投诉调查和处理决定不应导致任何歧视性行为，公司应将投诉处理过程描述向任何相关方公开。

Complaint investigation and handling decisions shall not lead to any discriminatory acts. The company shall make the description of the complaint handling process 公开 to any interested party.

4 争议处理 Dispute handling

4.1 如对审核过程、审核行为或不符合的结论有异议，可先与审核组长协商解决。如不能达成一致意见，可于现场审核结束后 30 天内向机构书面提出争议事项。

If there is a disagreement over the audit process, audit conduct or the conclusion of nonconformity, it may first be resolved through consultation with the audit team leader. If a consensus cannot be reached, a dispute may be submitted in writing to the organization within 30 days after the on-site audit ends.

争议处理流程：组织向机构提出争议事项 → 公司受理 → 调查 → 裁定 → 提出处理意见 → 争议提出方确认 → 分析问题原因 → 提出纠正措施 → 实施纠正措施 → 验证措施效果。

Dispute handling process: The organization submits a dispute to the organization → The company accepts → Investigation → Determination → Proposal of handling opinions → Confirmation by the party raising the dispute → Analysis of the cause of the problem → Proposal of corrective actions → Implementation of corrective actions → Verification of the effectiveness of the actions.

4.2 争议的调查和处理 Investigation and handling of disputes

4.2.1 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。本部门负责人应至少收集并记录以下内容：提出方信息、涉及的项目/证书、具体事实描述、相关证据以及期望的解决方式。并提交合规中心处理。

The department that discovers the information has the responsibility to register the relevant information on the "Certification Activity Feedback Information Handling Form" immediately and report it to the head of the department without delay. The head of the department shall at least collect and record the following content: information of the party raising the dispute, the project/certificate involved, description of specific facts, relevant evidence and the expected method of resolution. It shall then be submitted to the Compliance Centre for handling.

4.2.2 合规中心收到相关信息后，应确认争议是否与认证审核活动有关，如果有关，应启动流程解决该争议并通知提出方。

After receiving the relevant information, the Compliance Centre shall confirm whether the dispute is related to certification audit activities. If it is related, it shall initiate the process to resolve the dispute and notify the party that raised it.

4.2.3 机构将指定一名调查员，审核所有争议相关记录，访谈相关审核员、项目管理人员及提出方并核查客观证据。参与争议处理过程的人员应保证没有实施争议涉及的审核，也没有做出争议涉及的认证决定，参与人员应与争议事

项无关。

The organization shall designate an investigator to review all records related to the dispute, interview the relevant auditors, project management personnel and the party raising the dispute, and verify objective evidence. Personnel involved in the dispute handling process shall ensure that they have not performed the audit involved in the dispute nor made the certification decision involved in the dispute, and shall have no connection with the dispute matter.

4.3 决策与答复 Decision and response

4.3.1 对于一般性争议，由技术部负责人或授权的管理人员做出最终决定。

For general disputes, the final decision shall be made by the Head of Technical Department or authorized management personnel.

4.3.2 对于如拒绝、暂停等影响认证受理或批准的争议，若提出方对初步答复仍不满意，可启动申诉流程。

For disputes affecting the acceptance or approval of certification, such as refusal or suspension, if the party raising the dispute is still not satisfied with the preliminary response, the appeal process may be initiated.

4.3.3 机构应以书面形式向提出方正式反馈处理结论、依据及理由。整个过程（从受理到最终答复）原则上不超过30个工作日，复杂情况需延期时应提前告知争议提出方。

The organization shall formally provide feedback on the handling conclusion, basis and reasons to the party that raised the dispute in writing. The entire process (from acceptance to final response) shall not exceed 30 working days in principle. If an extension is required due to complex circumstances, the party raising the dispute shall be informed in advance.

5 记录与保密 Records and confidentiality

5.1 合规中心应保存所有申诉、投诉、争议以及与认证有关的补救措施的记录。

The Compliance Centre shall retain records of all appeals, complaints, disputes and certification-related remedial measures.

5.2 处理申诉、投诉的工作人员应对相关未公开的信息负有保密的责任。

Personnel handling appeals and complaints shall have a duty of confidentiality regarding relevant non-public information.

6 费用支付 Payment of fees

6.1 经调查确认，申诉、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。

If it is confirmed through investigation that the grounds for the appeal or complaint are not substantiated, the costs incurred for the appeal, complaint or dispute shall be paid by the party concerned or the client.

6.2 经调查确认，申诉、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。

If it is confirmed through investigation that the grounds for the appeal or complaint are substantiated and the responsibility lies with the respondent, the costs incurred shall be paid by the respondent.

6.3 经调查确认，当事人和应诉方均对该项申诉、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 party concerned and the respondent are responsible for the appeal or complaint, the costs incurred shall be resolved through consultation between both parties.