

## 申诉、投诉和争议的处理程序

### Procedures for handling Appeals, Complaints and Disputes

#### 1 目的 Goal

为保证 CQC 开展审定与核查工作的公正、准确，维护申请人和已获审定与核查供方的利益制订本程序。This procedure is formulated to ensure the fairness and accuracy of the validation and verification (v/v) work carried out by CQC and to safeguard the interests of applicants and certified suppliers.

#### 2 范围 Scope

- 2.1 与 CQC 审定与核查服务相关的组织和个人有关 CQC 审定与核查业务的申诉、投诉、争议。Organizations and individuals related to CQC v/v services related to CQC v/v business appeals and complaints.
- 2.2 下列情况不属受理范围The following are not admissible:
  - 2.2.1 已进入法律程序的申诉、投诉、争议。Appeals, complaints and disputes that have been subject to legal proceedings.
  - 2.2.2 因民事、经济纠纷引发的申诉、投诉、争议。Appeals, complaints and disputes arising from civil and economic disputes.
  - 2.2.3 超出 CQC 业务范围的申诉、投诉、争议。Appeals, complaints and disputes beyond the scope of CQC's operations.
  - 2.2.4 争议双方已达成调解协议并已执行，并且没有新情况、新理由的申诉、投诉、争议。Appeals, complaints and disputes in which the parties to the dispute have reached a conciliation agreement and have implemented it, and in which there are no new circumstances or grounds.
  - 2.2.5 不符合国家法律、法规的申诉、投诉、争议。Appeals, complaints and disputes that do not comply with national laws and regulations.
  - 2.2.6 证据不全的申诉、投诉、争议。Unsubstantiated appeals, complaints and disputes.
  - 2.2.7 经过有关部门处理过的申诉、投诉、争议。Appeals, complaints and disputes that have been dealt with by the relevant authorities.
  - 2.2.8 属于纪检部门、监察机关管辖范围的申诉、投诉、争议。Appeals, complaints and disputes that fall within the jurisdiction of the disciplinary and supervisory authorities.

#### 3 职责 Duties

- 3.1 CQC 审计与法律风控部负责接受来自各界的申诉、投诉与争议，对 CQC 各处（室）、各分中心的申诉、投诉、争议工作进行协调、指导和监督管理。Department of Auditing and Legal Compliance (A&L Dept.) of CQC is responsible for accepting Appeals, complaints and disputes from all circles, and coordinating, guiding, supervising and managing the appeals, complaints and disputes of all divisions (offices) and branches of CQC.
- 3.2 对于向 CQC 提出的申诉、投诉与争议，由审计与法律风控部负责组织进行调查，并提出处理建议，报管代，重大问题报 CQC 主任批准后执行。For the appeals, complaints and disputes submitted to CQC, the A&L Dept. shall be responsible for organising and conducting investigations and making recommendations on the handling, which shall be submitted to the Management Representative, and major issues shall be submitted to the President of CQC for approval before implementation.
- 3.3 如向管理委员会提出对 CQC 的申诉、投诉，由管理委员会进行处理，有关方应积极配合调查与处理。If any appeals and complaints against CQC is lodged with the

Impartiality Committee, the Impartiality Committee shall handle it and the parties concerned shall actively co-operate with the investigation and the handling.

- 3.4 为体现公正性，申诉、投诉涉及的相关人员及原审定与核查决定相关人在申诉和投诉处理过程中应予以回避。In order to demonstrate impartiality, the relevant persons involved in the appeal or complaint and the person concerned with the original accreditation decision shall recuse themselves from the appeal or complaint handling process.

#### 4 程序 proceedings

##### 4.1 申诉 appeal

- 4.1.1 申诉是提出人对CQC 的审定与核查决定或与审定与核查决定有关活动提出的正式的不满表示。A complaint is a formal expression of dissatisfaction by a claimant against a CQC v/v decision or an activity related to a v/v decision.
- 4.1.2 申请人对 CQC 审定与核查服务相关事项持有疑义时均可提出申诉。Applicants can file an appeal if they have doubts about matters related to CQC v/v services.
- 4.1.3 受理申诉时限为相关事项发生 30 天内。The time limit for receiving complaints is 30 days from the date of the matter in question.
- 4.1.4 申诉应以书面形式提交 CQC 审计与法律风控部。Complaints should be submitted in writing to the CQC A&L Dept..
- 4.1.5 CQC 及时对收到的申诉进行调查和处理。CQC investigates and deals with complaints received in a timely manner.
- 4.1.6 如申诉人不满意 CQC 处理结果，可直接向 CQC 管理委员会再次提出申诉，由 CQC 管理委员会进行处理。If the complainant is not satisfied with the outcome of the CQC's handling, he/she may submit a further complaint directly to the Impartiality Committee, which will handle the complaint.

##### 4.2 投诉 Complaints

- 4.2.1 投诉是提出人对 CQC 审定与核查服务提出的正式的抱怨意见。投诉人应署名并提供必要的调查证据及线索。Complaint is a formal complaint made by the complainant against the CQC v/v Service. The complainant shall sign his/her name and provide necessary evidence and clues for investigation.
- 4.2.2 相关组织和个人均可对 CQC 审核人员和工作人员的道德、行为、能力，CQC 审定与核查工作质量等问题提出投诉意见。Relevant organizations and individuals can make complaints about the ethics, conduct and competence of CQC auditors and staff, and the quality of CQC v/v work.
- 4.2.3 对于匿名投诉，CQC 应对其进行记录并留存，以作为工作改进的参考。对于署名投诉，CQC 应及时进行调查处理。处理投诉的部门或个人应调查分析所投诉的问题及投诉原因，包括CQC 管理体系中存在的倾向性因素，若无特殊原因，在收到投诉后的2个月内采取适当措施，并答复投诉人。这些措施可以是For anonymous complaints, CQC shall record and keep them as reference for work improvement. The department or individual who handles the complaint shall investigate and analyze the complaint and the reasons for the complaint, including the tendency factors in the management system of CQC, and take appropriate measures and reply to the complainant within 2 months after the receipt of the complaint if there is no special reason. These measures may be:
- 4.2.3.1 预防再发生; Prevention of recurrence;
- 4.2.3.2 评审采取的措施有效性; Evaluate the effectiveness of the measures

taken;

4.2.3.3 相关措施形成文件。 Relevant measures are documented.

4.2.4 投诉意见、答复及采取的相关措施均需及时上报 CQC 管理者代表批准，必要时报 CQC 主任批准。 Complaints, responses and related measures taken shall be submitted to the CQC manager's representative for approval in a timely manner, and to the CQC President for approval if necessary.

4.2.5 投诉处理完毕后，有关部门及人员应及时将有关资料报 CQC 质量监督部门并存档。 After the complaints are handled, the relevant departments and personnel shall report the relevant information to the sector of Quality Supervision of CQC and file it in a timely manner.

4.2.6 如向管理委员会提出投诉， CQC 应积极配合管委会进行调查处理。 If a complaint is lodged with the Impartiality Committee, CQC shall actively co-operate with the Impartiality Committee in the investigation and handling of the complaint.

#### 4.3 争议 disputes

4.3.1 争议是提出人对 CQC 审定与核查服务相关决定提出的正式的不同意见。 A dispute is a formal disagreement by the proposer with a decision relating to a CQC v/v service.

4.3.2 提出人对 CQC 的最终决定意见仍持有不同意见时有权向其他有关方面。 The proposer has the right to refer to other interested parties if he/she still disagrees with the CQC's final decision.

#### 4.4 申诉、投诉与争议的处理 Handling of Appeals, Complaints and Disputes

4.4.1 接到申诉、投诉与争议后， CQC 审计与法律风控部应确认是否受理并填写《申诉/投诉/争议受理通知书》或《申诉/投诉/争议不予受理通知书》，通知提出人。申诉、投诉与争议受理后， CQC 审计与法律风控部应根据实际情况立刻组织调查处理，受命处理申诉、投诉与争议的人员应及时与提出人联络，并通知其本人的联络方式，以便提出人随时了解处理情况。对于需委托 CQC 总部以外的单位处理的申诉、投诉与争议，应填写《申诉/投诉/争议转办通知书》，连同相关材料一同送至有关单位委托其调查、处理。 After receiving the appeals, complaints and disputes, the A&L Dept. of CQC shall confirm whether they are accepted or not and fill in the Notice of Acceptance of Complaints/Disputes or Notice of Inadmissibility of Complaints/Disputes to notify the person who filed the complaint. After the acceptance of appeals, complaints and disputes, CQC A&L Dept. shall organize the investigation and processing immediately according to the actual situation, and the person who is instructed to deal with the appeals, complaints and disputes shall contact with the proponent in time and notify him/her of his/her own contact information, so as to enable him/her to keep abreast of the processing situation. For the appeals, complaints and disputes that need to be entrusted to units other than CQC Headquarters, the "Notice of Referral of Complaints/Disputes" shall be filled in, and together with the relevant materials, it shall be sent to the relevant units to entrust them to investigate and deal with the appeals, complaints and disputes.

4.4.2 受理的申诉、投诉与争议的情况调查，分析原因及拟订的相关的处理措施，经审计与法律风控部核准后，报 CQC 管理者代表，重大问题要报主任批准执行。 Investigating the situation of appeals, complaints and disputes received,

analyzing the causes and formulating relevant measures to deal with them, and reporting them to the Management Representative of CQC after approval by A&L Dept., and reporting major issues to the President for approval and implementation.

- 4.4.3 若无特殊情况，应在接到申诉、投诉、争议 2 个月内将处理结果以《申诉/投诉/争议调查处理结果通知书》的形式通知提出人、当事人，必要时应通知相关方及CQC 相关部门，以便及时采取预防、纠正措施。If there are no special circumstances, the results of the handling shall be notified to the complainant and the person concerned in the form of "Notice of Results of Investigation and Handling of Complaints and Disputes" within 2 months upon receipt of the appeals, complaints and disputes, and the relevant parties and the relevant departments of the CQC shall be notified as necessary, so that preventive and corrective measures can be taken in a timely manner.
- 4.4.4 必要时应按程序对 CQC 运作程序进行更改。Procedural changes to CQC operating procedures shall be made as necessary.
- 4.4.5 申诉、投诉与争议处理完毕后应填写《申诉、投诉和争议工作登记表》，并整理有关记录，由审计与法律风控部负责存档。The "Appeals, Complaints and Disputes Work Registration Form" shall be filled in after the handling, and the relevant records shall be compiled and filed by A&L Dept.
- 4.4.6 每年CQC 审计与法律风控部应将处理申诉、投诉与争议情况报告提交 CQC 管理评审，以评估 CQC 处理申诉、投诉与争议的有效性。Each year the CQC A&L Dept. shall submit a report on the handling of appeals, complaints and disputes to the CQC Management Review to assess the effectiveness of the CQC's handling of them.

联系方式 (Contact) :

CQC 申诉、投诉与争议受理:

1、受理传真(fax): 010-83886138

2、[电子信箱\(email\)](mailto:impartiality@cqc.com.cn): impartiality@cqc.com.cn

3、普通邮寄(Ordinary mail): 请将情况说明与相关证据材料共同寄到以下地址 Please send the explanation of the situation and related evidence to the following address:

地 址(Address): 中国北京南四环西路 188 号 9 区 (Section 9, No. 188, Nansihuan Xilu, Beijing, China.)

收件人: 中国质量认证中心有限公司 China Quality Certification Center Co. Ltd. (CQC) , 综合业务部 (Comprehensive Service Department) 维护公正性委员会秘书处 (Secretariat of the Impartiality Committee )