



中国检验认证集团加拿大有限公司
CCIC Canada Inc.

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认证投诉和申诉处理程序

Procedure for Complains and Appeals of certification

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认证投诉和申诉处理程序

Procedure for complains and appeals of certification

1 目的

Purpose

为确保投诉和申诉处理工作的公正、有效，维护与认证工作有关各方的正当权益和 CCIC 的信誉，特制订本程序。

This procedure is specially formulated to ensure the impartial and effective handling of complaints and appeals, and to safeguard the rights and interests of all parties involved in the certification and the credibility of CCIC.

2 Scope of application

适用范围

本程序适用于申请认证或已获认证人员对 CCIC 认证决定的申诉以及任何组织或个人对 CCIC 提出的投诉的处理。

This procedure applies for handling of any appeal against CCIC certification decisions by certification applicant or certified person as well as any complaint related to certification by any organization or individual.

3 职责

Responsibility

- 3.1 质量保证部负责接收对 CCIC 认证业务的投诉和申诉，并组织进行调查和处理。

Quality Assurance Department is responsible for receiving complaints and appeals against CCIC certification, and organizing investigation and handling.

- 3.2 认证委员会主任负责申诉处理结果的审查。

The Chair of the Certification Committee is responsible for the review of the resolution of appeals.

- 3.3 总经理负责对投诉处理结果的审批。

The General Manager is responsible for the approval of resolution of complaint and appeals.

- 3.4 认证委员会对投诉和申诉的处理过程和结果进行监督。

The Certification Committee shall supervise the handling process and resolution of complaints and appeals.

4 申诉和投诉处理原则

Principles of appeal and complaint handling



- 4.1 申诉和投诉处理人员应未参与过被申诉或投诉事宜，没有利益冲突。与申诉和投诉事件有直接利害关系的工作人员及参与被投诉和申诉的认证活动的人员，均应回避相关处理工作，以确保处理过程的公正性。

The appeal and complaint shall be handled by those who have no involvement in the matter being appealed or complained and shall have no conflict of interest. Staff have direct interests in appeals and complaints, as well as those involved in the certification activities complained and appealed, should refrain from handling process to ensure the impartiality.

- 4.2 申诉和投诉处理过程中应遵守公正性和保密原则。申诉和投诉处理工作人员对获得的非公开信息负有保密责任。

The principles of impartiality and confidentiality shall be observed in the handling process of appeal and complaint. The personnel handling appeals and complaints shall keep confidential of non-public information obtained.

- 4.3 不应因申诉和投诉而对相关人做出不公正、不公平的处理措施。

No unjust and unfair actions can be taken against the persons who file the appeals and complaints.

- 4.4 如发现 CCIC 认证过程中的不符合或改进环节，应启动《不符合工作控制程序》或《风险管理和持续改进程序》，采取纠正及纠正措施或改进措施。

If any non-conformity or improvement opportunity in certification is identified, "Procedure for non-conforming Work" or "Procedure for Risk Management and Continual Improvement" should be initiated, and corrections and corrective actions or improvement actions should be taken.

5 申诉

Appeal

- 5.1 申诉受理的范围：

The scope of appeal can be accepted:

- a) 拒绝接受申请；

refuse to accept the application;

- b) 拒绝继续进行评审；

refuse to proceed with the assessment;

- c) 对所提供的审核结果或颁发的证书有异议；

object to the audit conclusions or the certificates issued;

- d) 对暂停、撤销认证资格有异议的；

Objection to the suspension or revocation of certification;

- e) 其它对认证状态或结果有异议的。



Objections to the other certification status or results.

5.2 申诉的提出

Filing of a complaint

人员认证申请人或获认证的人员应在接到 CCIC 的决定或措施通知后 30 个工作日内向 CCIC 提出申诉。申诉应以书面形式并经申诉人签字后提交。

The applicants for personnel certification or certified persons shall file an appeal with CCIC within 30 working days after receiving the notification of CCIC's decision or action. The appeals should be submitted in writing and signed by the complainant.

5.3 申诉的处理

Handling appeals

- a) 在收到申诉后，CCIC 质量保证部确认申诉内容属实后，应予受理，并通知申诉人。

After receiving the appeal, Quality Assurance Department of CCIC shall accept the appeal and notify the complainant after verifying that the facts appealed are true.

- b) 质量保证部应成立调查小组，对申诉事宜进行调查。调查小组可以通过各种措施取证，包括召集听证会议、人员面谈、调取记录和向专家咨询等，提出处理意见。

Quality Assurance Department shall set up an investigation group to investigate the appeal. The investigation group can collect evidence by various methods, including convening a hearing meeting, person interview, checking records and consulting with experts, etc., and put forward suggestion of resolution.

- c) 如需召开听证会，质量保证部应至少提前 5 个工作日通知申诉人会议时间和地点。

If a hearing is required, Quality Assurance Department shall notify the appellant of the time and place of the meeting at least 5 working days in advance.

- d) CCIC 和申诉方均有权提出证人，所提出的证人姓名，应在不迟于会议召开前 5 个工作日书面提交质量保证部。

Both CCIC and the appellant have the right to propose witnesses. The names of the proposed witnesses shall be submitted in writing to Quality Assurance Department no later than 5 working days before the meeting.

- e) 质量保证部应在收到申诉后 90 个工作日内对申诉做出决定，需延期时应由总经理批准。

Quality Assurance Department shall resolve the appeal within 90



working days after the appeal is received, and any extension requested shall be approved by General Manager.

- f) 申请处理决定由认证委员会或其指定专家小组审查，并由总经理批准。

The resolution decision shall be reviewed by the Certification Committee or a panel experts designated by the Certification Committee, and approved by the General Manager.

- g) 质量保证部应将申诉的裁定结果通知申诉人，需要时还应通知 CCIC 相关部门，以便及时采取后续措施。

The Quality Assurance Department shall notify the appellant of the resolution decision of the appeal, and the relevant CCIC departments when necessary, so that follow-up actions can be taken in a timely manner.

6 投诉

Complaint

6.1 投诉的受理范围：

The scope of complaints can be accepted:

- a) 认证过程中的任何拖延；

Any delays in the certification process;

- b) 对考官评分或资格有异议；

Disagreeing with the examiner's evaluation or qualifications;

- c) 对认证审查结果有异议；

Objection to the results of the certification review;

- d) 认为 CCIC 员工或聘请的专家违规行为，不公正或不廉洁自律；

CCIC employees or experts contracted by CCIC have violated the rules, are unjust or incorrupt and no self-disciplined;

- e) 认为 CCIC 违规收费；

Fee violating the rules;

- f) 对认证人员的不满；

Dissatisfaction with the certified person(s);

- g) 对认证证书和标志的使用有异议；

Objection to the use of certification certificates and symbols;

- h) 其它对 CCIC 及其员工、获证人员有异议的。



i) Other objections to CCIC and its employees and certified personnel.

6.2 投诉的提出

Filing complaints

投诉人应以书面形式（也可以是邮件或传真）向质量保证部提出投诉，并提供所投诉事件的细节情况、证明材料并签字。通常情况下，CCIC 对匿名投诉不予受理。

The complainant should submit signed complaint to Quality Assurance Department in writing (or by mail or fax), and provide details of the complained matter and supporting materials. Normally, CCIC will not accept anonymous complaints.

6.3 投诉的受理

Acceptance of complaints

质量保证部在接到投诉后进行分析并确定其有效性，并将投诉的受理情况书面通知投诉方。

After receiving the complaint, Quality Assurance Department will analyze and determine its validity, and notify the complainant in writing of the acceptance of the complaint.

6.4 投诉的处理

Handling of complaints

6.4.1 根据投诉事宜，质量保证部应进行调查核实，通过充分了解投诉事宜发生的过程，通过与相关人员面谈、查阅文件和记录等证据、专家咨询等措施获得事实真相，提出处理措施，经总经理批准后实施相关措施，并通知投诉人投诉处理已完成。

Quality Assurance Department shall conduct investigation and verification of the facts related to the complaint, obtain the truthful facts, interview with relevant personnel, review evidence such as documents and records, and consult experts, and propose handling actions. After approved by General Manager, the actions will be taken and the complainant will be notified that the complaint handling has been completed.

6.4.2 质量保证部应确保在收到后 60 个工作日内完成投诉处理。基于合理的原因需要延期时，应由总经理批准。

Quality Assurance Department shall ensure that the complaint is resolved within 60 working days after receipt. Any requested extension based on sound reasons shall be approved by General Manager.

6.4.3 当对已认证的人员提出投诉，质量保证部应分析投诉事宜，评估是否先提交该人员予以解释，再进行后续处理。

When a complaint is filed against a certified person, Quality Assurance Department shall analyze the complaint and evaluate whether it should be submitted to the person in question for explanation before proceeding with further actions.

6.4.4 在投诉处理过程中，质量保证部应与投诉人保持密切沟通，让投诉人了解投诉处理进展情况。只要有可能，投诉处理结束时应通知投诉人。



During the complaint handling process, Quality Assurance Department shall maintain close communication with the complainant to update the progress of the complaint handling. Whenever possible, CCIC shall give formal notice of the end of the complaints-handling process to the complainant.

7 记录

Records

质量保证部负责保存申诉和投诉的处理记录，包括收到的申诉和投诉、调查、处理结果和相关措施。

The QA Department is responsible for keeping records of the handling of complaints and complaints, including complaints and complaints received, investigations, resolutions and related actions.

8 支持表格

Supporting forms

CCIC-CA-RD(46)-01 投诉和申请记录表
Form of Complaints & Appeals

提交申诉或投诉方法：

- 将投诉和申诉事宜发送至以下邮箱：zhangmx@ccicca.com， 或
- 登录 www.cicca.com， 通过“联系我们”页面给出的联络信息。

The appeal or complaint can be filed by:

- Send complaints and appeals to: zhangmx@ccicca.com, or
- Log on to www.cicca.com, and use the contact information given on the "Contact Us" page.



Revision History

Revision No.	Revision date	Revised contents/reason	Revised by	Reviewed by	Approved by
1	2022-4-1	First version	Vivian Zhang	Henry Zhu	Minyan Li

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