投诉、申诉控制程序

SOP for Appeals and Complaints

编　制 Prepared By	审　核 Reviewed by	批　准 Approved by
高辉 2026.1.26	钱芳 2026.2.28	钱芳 2026.3.1

文件修改履历 Revision list

版本号 Version No	修改内容 Revision	生效日期 Effective Date	修改人 Prepared by	审批人 Approved by	备注 Remarks
A0	首版发布 First published	2016-3-1	夏守艳 Xia Shouyan	李惠、周延冲 Li Hui, Zhou Yanchong	
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 Wang Zhenggu	夏劼清 Xia Jieqing	
B0	增加 CNAS 认可相关要求 Add relevant requirements for CNAS approval	2021.1.10	王正谷 Wang Zhenggu	夏劼清 Xia Jieqing	
B1	增加 IECQ 02 对申诉的要求 Add requirements regarding IECQ02	2022.1.10	王正谷 Wang Zhenggu	夏劼清 Xia Jieqing	
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 Gao Hui	周延冲 Zhou Yanchong	
D0	温室气体和产品碳足迹规定要求 Requirements for greenhouse gas and product carbon footprint regulations	2024.1.15	高辉 Gao Hui	周延冲 Zhou Yanchong	
D1	1.根据 2025 年发布质量管理体系认证规则进行符合性修订。Amendments have been made to ensure compliance with the Quality Management System Certification Rules published in 2025. 2.文件审批人由周延冲变更为钱芳 The document approver has been changed from Zhou Yanchong to Qian Fang.	2026.1.1	高辉 Gao Hui	钱芳 Qian fang	
D2	根据 2026 年环境和职业健康安全管理体系认证规则进行符合性修订。Amendments to ensure compliance with the 2026 Certification Rules for Environmental and Occupational Health and Safety Management Systems.	2026.3.1	高辉 Gao Hui	钱芳 Qian fang	

1 目的 Purpose：

为确保申投诉处理工作的公正、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,IECQ 02，IAF MD6，ISO14065 和 ISO/IEC17029,的要求制定本程序。

This procedure is formulated to ensure the fairness and effectiveness of the appeal/complaint handling, safeguard the legitimate rights and interests of all parties related to the certification, and maintain the reputation of the CB, in accordance with the requirements of ISO/IEC 17021-1, ISO/IEC 17000, CNAS-R03, IECQ 02, IAF MD6, ISO14065, and ISO/IEC 17029.

2 范围 Scope：

适用于处理申请或已获得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。Applicable to handling appeals against our institution from organizations that have applied for or obtained certificates, as well as handling appeals and complaints from other relevant parties against our institution.

3 定义 Definition：

3.1 申诉:提供合格评定对象或自身为合格评定对象的个人或组织,向 LQA 或认可机构提出的就其对该对象所作出的决定进行重新考虑的请求。

Appeal: A request to LQA or the accreditation body made by an individual or organization who is the subject of a compliance assessment for reconsideration of their decision regarding the subject.

3.2 投诉:除申诉外,任何个人或组织向 LQA 或认可机构就其活动表示不满意并期望得到回复的行为。

Complaint: Any individual or organization who expresses dissatisfaction to LQA or accreditation bodies regarding LQA's activities, and expects a response, except for appeals.

4 职责 Duties：

4.1 业务部负责对申投诉的受理，跟踪处理结果,并给反馈方通报处理结果。

The business department is responsible for accepting complaints, tracking the handling results, and reporting the results to the applicant.

4.2 技术委员会（技术部）负责审批与技术有关的处理意见。

The Technical Committee (Technical Department) is responsible for reviewing and approving opinions related to technology.

4.3 总经理负责批准申投诉处理结果。

The general manager is responsible for approving the results of appeal/complaint handling.

5 程序 Procedures：

5.1 处理原则 Principles

5.1.1 本机构处理申投诉以事实为依据，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，ISO14065 和 ISO/IEC17029 及本机构文件为准则。

Our organization handles appeals/complaints based on facts, in accordance with relevant national laws and regulations, standards/certification rules, CNAS accreditation standards, IECQ 02 procedural rules, ISO/IEC 17021-1, ISO 14065, ISO/IEC 17029, and our organization's documents.

5.1.2 参与申投诉处理过程的人员对其所获得的任何与申投诉有关的非公开信息负有保密的责任。

Personnel involved in the appeal/complaint handling process are responsible for keeping confidential any non-public information related to the appeal/complaint they receive.

5.1.3 参与申投诉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。

The personnel involved in the appeal/complaint handling process and decision-making should maintain objectivity, impartiality, and should not be discriminatory.

5.1.4 与申投诉事件有直接利害关系的人员不得参与申投诉的调查、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）。

Personnel who have a direct interest in the appeal/complaint shall not participate in the investigation, handling, and decision-making of the appeal/complaint. Once there is a conflict, it should be declared and avoided. Direct interests include: those who have provided consultation or been employed by the applicants within the past two years; Participated in certification activities (audits, inspections, certification decisions, etc.) that involve appeals and complaints.

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

The filing, investigation, and decision about an appeal/complaint should not result in any discriminatory behavior against the applicant.

5.2 申诉、投诉 Appeals, Complaints

5.2.1 申诉受理的范围 Appeal scope

a. 无正当理由不受理申请的；

Refusing to accept certification applications 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；

Those who have objections to the certification decision and file an appeal within 10 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；

Those who have objections to the suspension, withdrawal or revocation of certification qualifications shall file an appeal within 10 working days from the date of receiving the decision;

d. 其他。Others.

5.2.2 投诉处理的范围 Complaint scope

a. 拖期实施认证、审定/核查的；

Delaying the implementation of certification, validation/verification;

b. 对审核、审核/核查人员的资格有异议的；

Those who have objections to the qualifications of the audit, validation/verification personnel

c. 对审核、审核/核查组的组成有异议的；

Objections to the composition of the review, validation/verification team;

d. 对认证机构或人员认为有违章行为的；

Certification bodies or personnel who are deemed to have violated regulations;

e. 认为认证机构违章收费的；

Those who believe that certification bodies have illegally charged fees;

f. 对予以认证、审定/核查有异议，或予以认证、审定/核查的标准符合性有异议；

There are objections to the certification, validation/verification, or the conformity of the standards for certification, validation/verification;

g. 对认证证书和标志的使用有异议的；

Objections to the use of certification certificates and logos;

h. 其他。Others

5.2.3 申诉、投诉的提出 Submission of appeals, complaints

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。

The applicant should submit the appeal or complaint to the business department of this institution for handling. The deadline for accepting appeals and complaints is within 10 working days of the occurrence of the relevant matter. Complaints and appeals should be submitted in writing and signed and stamped by the responsible person of the applicant before being submitted to this institution.

申投诉应包括下列内容： The appeal/complaint should include the following contents:

a）事实内容和诉求的描述； Description of factual content and demands;

b）保密及公开的要求； Requirements on confidentiality and disclosure.

5.2.4 申诉、投诉的受理 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：

The business department accepts appeals and complaints, records them in the "Customer Appeal/Complaint/Dispute Handling Form", and notifies the applicants of the acceptance status in writing. The following situations may result in appeals/complaints not being accepted:

1）匿名； Anonymous

2）内容超出受理范围；The content exceeds the scope of acceptance

3）虚假信息；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。

The content clues are too vague, and the existing information cannot be used for investigation. The complainant is unwilling to provide further information or clues.

5.2.5 申诉、投诉的处理 Handling 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)：

The business department transfer the appeal/complaint to the technical department or other relevant departments for handling, who shall handle it in a timely manner (not exceeding 30 working days). The processing method can be (but is not limited to):

a) 召集有关人员开会进行分析研究；

Convene relevant personnel to hold a meeting for analysis and research;

b) 组织工作组进行调查研究。

Form a team to conduct investigation and research.

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。

The department responsible for handling appeals and complaints should understand all parties involved in the appeal or complaint (such as personnel providing consulting services), and forming a team responsible for research and investigation consisting of members (or one member team) who have no vested interests in the object of the appeal or complaint.

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：

The handling of appeals and complaints should investigate and analyze the issues and reasons behind the complaints, including the biased factors present in the management system of this institution. In response to complaints, it should be confirmed whether the complaint is related to the certification activities of our institution and whether it is related to certified customers. When investigating complaints, the effectiveness of the certified management system should be considered. The measures for handling complaints can be:

a) 尽快恢复认证；Restore certification as soon as possible

b) 预防再发生；Prevent Recurrence

c） 评审采取的措施有效性；Evaluate the effectiveness of the measures taken

d） 相关措施形成文件。Formulate relevant measures into documents

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，并对申诉处理过程中的所有决定负责，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。

The person in charge of handling shall fill out the "Customer Appeal/Complaint/Dispute Handling Form" to investigate and handle the situation and results, and submit it to the company's general manager/DMR for approval before implementation. They shall be responsible for all decisions made during the appeal handling process, and the handling situation shall be documented in two copies of written materials including the reasons and conclusions for handling. One shall be submitted by the business department to the applicant, and the other shall be kept on file.

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。

Normally, the business department provides a written response to the appellant or complainant within 60 working days after receiving the appeal or complaint. In case of special or complex circumstances that require an extension, approval from the general manager should be obtained, and explained and notified to the applicant in writing.

5.2.6　对获证客户的投诉 Complaints against certified clients

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和审定/核查报告的有效性。

When a complaint involves a certified client, the technical department confirms whether the complaint is related to our certification activities. If the complaint is related to a system certification client, the effectiveness of the certified management system and the validation/verification report should be considered when investigating the 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：

For complaints against certified clients, the business department is responsible for transmitting

the relevant complaint information to the certified client. When dealing with major complaints, certified clients should report us the reasons for the complaint in writing. Certified clients should conduct investigations and develop remedial and/or corrective measures, including the following measures:

a) 如法规要求时，通知适当的职权机构；

Notify the appropriate authority when required by regulations;

b) 纠正；Correction

c) 防止再发生；Prevent occurrence

d) 评价和减小任何负面的安全事件和相关的影响；

Evaluate and mitigate any negative security incidents and their associated impacts;

e) 评定所采用的补救和（或）纠正措施的有效性。

Assess the effectiveness of the remedial and/or corrective measures adopted.

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。

If any non-compliance or room for improvement is found during the investigation of appeals and complaints in the relevant certification activities or management, our organization will take measures to correct or improve 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。

Personnel involved in accepting and handling appeals and complaints shall strictly comply with the provisions of the Confidentiality Policy regarding information related to complainants and complaint matters.

5.2.9 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。If the applicant or complainant raises doubts about the team or members of the handling team, the company's general manager is responsible for replacing the team or members.

5.3 其他 Others

5.3.1 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

If the applicant has different opinions on the handling results of LQA, they can submit their opinions to CNAS and/or IECQ MC and/or IEC CAB

5.3.2 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 notifying customers of the appeal process and communication plan during on-site audits. The channels for filing appeals/complaints include:

LQA http://www.lqa-cert.com / Email: lqa@lqa-cert.com

IECQ https://www.iecq.org / Email: info@iecq.org

IECQ 国际电子电器元件质量评估机构

IECQ MC (Management Committee)

IEC CAB (Conformity Assessment Board)

https://www.iecq.org/contact-us

CNAS https://www.cnas.org.cn/

CNCA http://www.cnca.gov.cn /

5.3.3 申投诉事项处理完成后，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。

After completion of handling the appeal/complaint, the business department, the customer, and the complainant jointly decide whether to make the appeal/complaint public, and jointly determine the degree and form of disclosure.

6 相关文件 Related documents：

无 None

7 记录 Records：

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