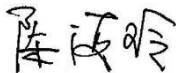



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| 文件名称<br>File name                                                                                                                             | 申诉和投诉处理管理程序<br>Grievance and Complaints Handling Management Procedure | 生效日期<br>Effective Date | 2025年11月4日<br>November 4th, 2025 |

# 申诉和投诉处理管理程序

## Grievance and Complaints Handling Management Procedure

|                             |                                                                                     |          |                                |
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| 发行部门<br>Issuing Department: | 行政人事部<br>Administrative and Human Resources Department                              | 日期 Date: | 2025年11月4日<br>November 4, 2025 |
| 编制 Preparation:             | 吴祥兰<br>Wuxianglan                                                                   | 日期 Date: | 2025年11月4日<br>November 4, 2025 |
| 审核 Audit:                   |  | 日期 Date: | 2025年11月4日<br>November 4, 2025 |
| 批准 Approval:                |  | 日期 Date: | 2025年11月4日<br>November 4, 2025 |

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| 文件会签 Document countersigning |                                                                                   |                                                                                   |                                                                                    |                                                                                     |
|------------------------------|-----------------------------------------------------------------------------------|-----------------------------------------------------------------------------------|------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|
| 部门<br>department             | 市场拓展部<br>Market Development Department                                            | 审核部 Audit Department                                                              | 技术部 Technology Department                                                          | 行政人事部<br>Administrative and Human Resources Department                              |
| 签字<br>signature              |  |  |  |  |
| 日期<br>date                   | 2025.11.4                                                                         | 2025.11.4                                                                         | 2025.11.4                                                                          | 2025.11.4                                                                           |

| 文件修订记录 Document Revision History |                       |                                                                                                                                                                       |      |                   |                   |
|----------------------------------|-----------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|-------------------|-------------------|
| 序号<br>Serial                     | 修订日期<br>Revision Date | 修订内容 Revisions                                                                                                                                                        | 修订后版 | 修订人<br>Revised by | 批准<br>approve     |
| 1                                | 2018/1/3              | 增加 5.2.5 投诉处理过程应至少包括以下要素和方法。增加服务认证的内容。Added 5.2.5 The complaint handling process should at least include the following elements and methods. Added content on service | B/1  | 伍文玲<br>Wuwenling  | 尹雪晨<br>Yinxuechen |

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|   |            |                                                                                                                                                                                                                                                                                                                                                                                                                                                     |     |                           |                    |
|---|------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|---------------------------|--------------------|
| 2 | 2020. 4. 9 | 1. 变更程序编制管理部门； Change the procedure preparation management department ;<br>2. 修改各部门职责及处理流程； Modify the responsibilities and processing procedures of each department;<br>3. 增加《客户反馈、投诉记录表》和《纠正/预防措施处理单》至附件。 Add "Customer Feedback and Complaint Record Form" and "Corrective/Preventive Measures Processing Form " to the attachments.<br>4. 文件编号由 SDIC-OP-TC-003 变更为 SDIC-OP-HR-014 Document number changed from SDIC-OP-TC-003 to SDIC-OP-HR-014 | C/0 | 吴雅玲<br>Wuyaling           | 尹雪晨<br>Yinxuechen  |
| 3 | 2021/4/15  | 依据 CNCA-N-007: 2021 《食品安全管理体系认证实施规则》修订<br>Revised in accordance with CNCA-N-007:2021 "Food Safety Management System Certification Implementation Rules"                                                                                                                                                                                                                                                                                             | C/1 | 吴雅玲<br>Wuyaling           | 陈海玲<br>Chenhailing |
| 4 | 2025-10-30 | [2025]第16号-质量管理体系认证规则                                                                                                                                                                                                                                                                                                                                                                                                                               | C/2 | 吴祥兰、黄美秀<br>Xianglan Huang | 尹雪晨<br>Xuechen Yin |
|   |            |                                                                                                                                                                                                                                                                                                                                                                                                                                                     |     |                           |                    |
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## 1 范围 Scope

本程序规定了管理体系/服务认证活动所涉及的申诉和投诉的处理有关要求。仅适用于管理体系/服务认证活动的申诉和投诉的处理。This procedure specifies the requirements for handling appeals and complaints related to management system/service certification activities. It is only applicable to the handling of appeals and complaints related to management system/service certification activities.

## 2 参照文件 Reference Documents

CNAS-CC01:2015 《管理体系认证机构要求》 CNAS-CC01:2015 "Requirements for Management System Certification Bodies"

CNAS-CC02:2013 《产品、过程和服务认证机构要求》 CNAS-CC02:2013 "Requirements for Product, Process and Service Certification Bodies"

CNCA-N-007: 2021 《食品安全管理体系认证实施规则》 CNCA-N-007:2021 "Food Safety Management System Certification Implementation Rules"

[国家认监委公告\[2025\]第 16 号-质量管理体系认证规则](#)  
[Announcement No.16 \[2025\] of the Certification and Accreditation Administration of the People's Republic of China - Certification Rules for Quality Management Systems](#)

## 3 定义 Definition

3.1 申诉：受深圳市深大国际认证有限公司（以下简称深大国际认证）的认证决定直接影响的某一方，对认证状态有关的不利决定向我公司或认可机构提出的重新考虑的书面请求。Appeal: A written request for reconsideration of an adverse decision regarding certification status made by a party directly affected by the certification decision of SHENZHEN SHENDA INTERNATIONAL CERTIFICATION CO.,LTD（hereinafter referred to as SDIC） to our company or the accreditation body.

3.2 投诉：任何组织或个人向深大国际认证公司提出的，有别于申诉并希望得到答复的，对深大国际认证公司的活动不满的书面表示。Complaint: A

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written statement made by any organization or individual to SDIC, which is different from an appeal and hopes to receive a response, expressing dissatisfaction with the activities of SDIC.

#### 4 职责 Responsibilities

4.1 行政人事部对客户申述/投诉进行正式受理，其他各部门负责将收到的顾客申述/投诉信息传递至行政人事部；The Administration and Human Resources Department formally accepts customer complaints and other departments are responsible for passing on the customer complaints and information received to the Administration and Human Resources Department;

4.2 其他各部门负责根据行政人事部安排的调查/处理分工，对不影响审核结论的申诉和投诉进行跟进调查/处理。Other departments are responsible for follow-up investigation/handling of appeals and complaints that do not affect the audit conclusions according to the investigation/handling division of labor arranged by the Administrative and Personnel Department.

4.3 管理委员会负责授权有关人员处理影响审核结论的申诉和投诉。The Management Committee is responsible for authorizing relevant personnel to handle appeals and complaints that affect the audit conclusions.

#### 5 处理程序 Processing Procedure

##### 5.1 申诉 Complaints

5.1.1 委托方或其他相关方对深大国际认证公司受理的认证申请、认证授予和暂停、撤销、扩大和缩小认证资格等决定持有疑义时均可提出申诉。

The client or other relevant parties may file an appeal if they have doubts about the certification application, certification grant, suspension, withdrawal, expansion and

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reduction of certification qualifications accepted by SDIC.

5. 1. 2 申诉应以书面形式提交公司行政人事部，受理时限为发出认证决定或相应通知后的 10 天内。The appeal should be submitted in written form to the company's administrative personnel department, and the acceptance period is within 10 days after the issuance of the certification decision or corresponding notice .

5. 1. 3 行政人事部收到申诉后应向申诉人书面确认收到了申诉，并填写《客户申诉/投诉记录表》，通报公司总经理。行政人事部授权有关部门/人员通过调查取证、召集会议等方式做出判断处理, 并应在 60 日内将处理结果书面告知申诉人。After receiving a complaint, the Administration and Human Resources Department shall confirm in writing to the complainant that the complaint has been received, fill in the Customer Complaint/Report Form, and notify the company's General Manager. The Administration and Human Resources Department shall authorize the relevant departments/personnel to conduct investigations, collect evidence, convene meetings, and other activities to make judgments and handle the matter, and shall inform the complainant of the handling result in writing within 60 days.

5. 1. 4 申诉处理过程应至少包括以下要素和方法：The complaint handling process should include at least the following elements and methods:

- a) 受理、确认和调查申诉的过程，以及参考以前类似申诉的结果，决定采取何种措施以回应申诉的过程； the process for receiving, identifying and investigating complaints and for deciding what action to take in response to complaints, taking into account the outcomes of previous similar complaints;
- b) 跟踪和记录申诉，包括为解决申诉而采取的措施； tracking and recording grievances, including actions taken to resolve them;
- c) 确保采取任何适当的纠正和纠正措施 Ensure that any appropriate corrections

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and corrective actions are taken

5. 1. 5 公司在接到申诉之日起，将在 60 日内进行处理，并将处理结果书面通知认证委托人。The company will handle the complaint within 60 days from the date of receipt and notify the certification client of the handling results in writing.

5. 1. 6 申诉人对申诉处理的结论持有疑义，如认为我机构行为违反了相关法规，处理结果严重侵害了自身合法权益的，可以直接向各级认证监管部门投诉。公司对申诉的提出、调查和决定不会造成对申诉人的歧视。If the complainant has doubts about the conclusion of the complaint handling, such as believing that our organization's behavior violates relevant laws and regulations, and the handling results seriously infringe their own legitimate rights and interests, they can directly complain to the certification supervision departments at all levels. The company's filing, investigation and decision on complaints will not cause discrimination against complainants.

5. 1. 7 申诉处理过程中，所有参与人员应对申诉人信息进行保密。During the complaint handling process , all participants shall keep the complainant's information confidential .

## 5. 2 投诉 Complaints

5. 2. 1 相关组织和个人均可对深大国际认证公司派出的审核组的工作质量、审核人员和公司工作人员的道德、行为、能力以及公司与认证有关的工作和获证方的管理体系、认证范围等问题提出投诉。Any relevant organization or individual may lodge a complaint regarding the work quality of the audit team sent by SDIC, the ethics, behavior, and competence of the auditors and company staff, the company' s certification-related work, the management system of the certified party, the scope of certification, and other issues.

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5.2.2 投诉意见以书面形式向公司提出，受理时限为相关事项发生后 60 日内。Complaints shall be submitted to the company in writing, and the time limit for accepting complaints is within 60 days after the occurrence of the relevant incident.

5.2.3 公司行政人事部收到投诉后，应填写《客户申诉/投诉记录表》，并指派工作组/专门人员对投诉意见进行调查处理，收集和核实用于确认投诉所必要的信息，并在收到投诉后的 60 日内以书面形式告知处理结果。投诉的提交、调查和决定不应造成针对投诉人的任何歧视行为。

Upon receipt of the complaint, the company's Administration and Human Resources Department shall fill in the Customer Complaint/Report Form, assign a working group or dedicated personnel to investigate and handle the complaint, collect and verify all information necessary to confirm the complaint, and notify the complainant of the handling result in writing within 60 days of receiving the complaint. The submission, investigation, and decision of the complaint shall not result in any discriminatory acts against the complainant.

5.2.4 如投诉涉及获证客户，则公司在收到投诉后的 60 日内告知客户，并对已认证的管理体系的有效性进行评价，并在适用时按《暂停、撤销、扩大和缩小认证程序》处理。If the complaint involves a certified client, the Company will inform the client within 60 days of receipt of the complaint, evaluate the effectiveness of the certified management system, and handle it in accordance with the "Suspension, Withdrawal, Expansion and Reduction of Certification Procedures" when applicable.

5.2.5 投诉处理过程应至少包括以下要素和方法：The complaint handling process should include at least the following elements and methods:

a) 受理、确认和调查投诉的过程，以及决定采取何种措施以回应投诉的过程；the process for receiving, identifying and investigating complaints, and for deciding

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what actions to take in response to complaints;

b) 跟踪和记录投诉，包括为回应投诉而采取的措施； tracking and recording complaints, including actions taken in response to complaints;

c) 确保采取任何适当的纠正和纠正措施 Ensure that any appropriate corrections and corrective actions are taken

5.2.6 投诉处理过程结束后市场拓展部将投诉处理结果正式通知投诉人。投诉人对投诉处理结论持有疑义时可提出申诉。 After the complaint handling process is completed, the Marketing Department will formally notify the complainant of the complaint handling results. The complainant may file an appeal if he/she has doubts about the complaint handling conclusion.

5.2.7 公司对投诉人及投诉事项的信息应予以保密，公司需与投诉人共同商定是否应将投诉事项公开，并在决定公开时，共同确认公开的程度。 The company shall keep confidential the information of the complainant and the complaint. The company shall discuss and agree with the complainant on whether the complaint should be made public, and when deciding to make it public, jointly confirm the extent of such disclosure.

## 6 回避 Avoid

本公司成员如构成申诉、投诉所涉及的一方或有直接利益关系，在研究处理时应予回避。 If a member of the Company is a party involved in an appeal or complaint or has a direct interest in it, he or she should be recused from the research and handling of the matter.

## 7 记录的保持 Record keeping

公司行政人事部应保存处理申诉、投诉及争议全过程的所有记录。 The company's administrative personnel department should keep all records of the entire



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