



# COMPLAINTS AND APPEALS

QP 09

## 投诉和申诉

### REVISION STATUS 修订状态

| Issue 发布 | Revision 修订 | Prepared 编写 | Reviewed 审核 | Approved 批准 |
|----------|-------------|-------------|-------------|-------------|
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### AMENDMENT RECORD 修正记录

| Revision 修订 | Date 日期    | Pages 页数 | Reason for amendment 修正原因   |
|-------------|------------|----------|---|
| 00          | 2022/01/01 | 4        | New issue   |
| 01          | 2024/03/05 | 3        | Revise 5.1 to explicitly state the requirement for the appeals-handling process to be publicly accessible on the website. |
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|             |            |          |   |



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### 1. Introduction 介绍

The organization takes very seriously any and all complaints made in connection with its products and services. This procedure sets out a method of dealing expeditiously and impartially with complaints made by customers and other (external) interested parties.

本组织非常认真地对待与其产品和服务有关的任何和所有投诉。本程序规定了一种迅速和公正地处理客户和其他（外部）相关方提出的投诉的方法。

### 2. Abbreviations and Definitions 缩写和定义

Complaint: Criticism of the Certification Body, or of the qualification/ assessment process.

投诉：对认证机构的批评，或对资格认证/评估过程的批评

Appeal: Against a decision made by the certification body

申诉：反对由认证机构所作出的决定

Other applicable abbreviations and definitions are listed in the Quality Manual

其他适用的缩写和定义列于质量手册

### 3. References 参考文献

General references are listed in the quality manual;

一般的参考文献列在质量手册中；

ISO 9001 Quality Management system - Requirements

ISO 9001 质量管理体系—要求

ISO 17024 Conformity assessment – General requirements for bodies operating certification of persons

ISO 17024 合格评定—人员操作认证机构的一般要求

ISO 9712 Non-destructive testing – Qualification and Certification of NDT Personnel

ISO 9712 无损探伤-NDT 人员的资格鉴定和认证

GBT 9445-2015 无损检测 人员资格鉴定与认证

### 4. Responsibility and authority 责任和权限

4.1. All individuals involved in the handling of complaints and appeals shall be impartial (QP 01 refers).

所有参与处理投诉和申诉的个人均应公正(参照 QP01)

4.2. The Head of certifications, shall be responsible for reviewing complaints and deciding on or recommending an appropriate course of action.

认证部门的负责人应负责审查投诉，并决定或建议一个适当的行动方案。

### 5. Information for complainants or appellants 有关投诉人或申诉人的资料

5.1. All complaints or appeals must be made – in online or writing, using the appropriate form referenced in this procedure. The individual will need download F-15 Complaints and appeals register and fill the form. Then email F-15 Complaints and appeals register 投诉与申诉受理登记表 to [jiebaixuel@ccicshaanxi.com](mailto:jiebaixuel@ccicshaanxi.com) or



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mail to 10 Hanguang North Road, Xi 'an City, Shaanxi Province, Jiebaixue Liu, 18710516309. Each complaint or appeal will be acknowledged, investigated and resolved. Verbal complaints will not be accepted. .所有投诉或申诉必须以网上或书面形式提出，并使用本程序中提到的适当形式。个人将需要下载 F-15 投诉和上诉登记册并填写表格。然后通过电子邮件发送 F-15 投诉和申诉登记投诉与申诉受理登记表至 jiebaixuel@ccicshaanxi.com 或邮寄至陕西省西安市含光北路 10 号，Jiebaixue Liu, 18710516309。每一项投诉或申诉都将得到确认、调查和解决。不接受口头投诉。

5.2. Complaints may be made by any individual (e.g. a certificate holder, a certificate holder's employer, or a client of an employer) against the qualification and certification process, the CB administration body, an ATO, or a certificate holder.

任何个人（例如，证书持有人、证书持有人的雇主或雇主的客户）均可对资格和认证程序、CB 管理机构、ATO 或证书持有人提出投诉。

5.3. Appeals may be made against a decision taken by the CB not to award a certificate, to withdraw or cancel a certificate, or not to renew a certificate, or reduce the scope of a certificate.

可对 CB 不颁发证书、撤回或取消证书、不续签证书或减少证书范围的决定提出申诉。

5.4. Submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.

对申诉的提交、调查和决定不得导致对申诉人采取任何歧视性行为。

5.5. Any action determined by the Complaints and Appeals Panel regarding a substantiated complaint will be notified to the complainant, the ATO or the CB (as appropriate) at the appropriate time.

投诉及申诉小组就已证实的投诉所决定的任何行动，将在适当时间通知投诉人、授权培训中心或认证机构（视情况而定）。

5.6. The Scheme Committee will meet and review all relevant material within 42 days of receipt of a written complaint or appeal and decide upon the appropriate action to be taken by the Head of certifications.

认证委员会将在收到书面投诉或申诉后的 42 天内开会并审查所有相关材料，并决定证书主管应采取的适当行动。

5.7. The Constitution, Terms of Reference and Method of Working for the Complaints and Appeals Panel are included in this procedure.

申诉和申诉小组的章程、职权范围和工作方法。

## 6. Process 过程

6.1. The Head of certifications will endeavour to deal with complaints and appeals without recourse to committee. Where this is not possible, or where the complainant or appellant insists, the matter will be put before scheme committee.

认证主管将努力处理投诉和申诉，而不诉诸委员会。如不可能，或申诉人或申诉人坚持，该事项将提交计划委员会。



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6.2. Ordinarily, complaints are handled by correspondence with the complainant/appellant who may submit written representations.

一般而下，投诉由与投诉人/申诉人的通信处理，申诉人可提交书面陈述。

6.3. As part of the investigation, the Head of certifications will correspond with all appropriate parties, including the complainant and the certification holder or the ATO or the CB, in order to determine the facts relating to the complaint or appeal.

作为调查的一部分，认证主管将与所有适当的各方通信，包括投诉人、认证持有人或 ATO 或 CB，以确定与投诉或申诉有关的事实。

6.3.1. People having a direct interest in the complaint or appeal are not allowed to be involved in communication complaints decision to complainant

与投诉或上诉有直接利害关系的人士不得参与向投诉人传达投诉决定

6.4. On receiving a complaint or an appeal, the Head of certifications will decide whether there is sufficient information to consider the complaint or appeal and make a decision.

在收到投诉或申诉后，证书主管将决定是否有足够的资料来考虑投诉或申诉并作出决定。

6.5. Once sufficient information has been obtained, the Head of certifications will decide whether to manage the complaint or appeal himself/herself or escalate to Scheme Committee. In the case where a complaint is against the CB, Scheme Committee will take up the matter. In all cases, outcomes will be reported to the Certification Scheme Committee.

一旦获得足够的资料，认证主管将决定是否处理投诉或亲自提出申诉，或升级到计划委员会。如投诉，计划委员会将处理有关事宜。在所有情况下，研究结果都将被报告给认证计划委员会。

6.6. Once the complaint or appeal has been considered and a decision has been made, the outcome will be corresponded to all interested parties .

一旦投诉或申诉已被考虑并已作出决定，其结果将对应于所有有关各方。

6.7. Depending on the outcome, the complainant or appellant will have 15 working days to appeal the decision. After the appeal against the decision has been considered and adjudicated upon, no further appeals will be allowed unless new evidence is forthcoming.

根据申诉结果，申诉人或申诉人将有 15 个工作日的时间对该决定提出申诉。在对该决定的申诉得到审议和裁决后，除非有新的证据，否则不允许进一步的申诉。

## 7. Guidance on outcomes 结果指导

### 7.1. Appeals 申诉

If it transpires that the CB has made a mistake when making a decision not to award a certificate, to withdraw or cancel a certificate, not to renew a certificate, or reduce the scope of a certificate, then the decision should be reversed as soon as possible without further costs to the appellant.

如果发生，CB 犯了一个错误时决定不授予证书，撤回或取消证书，不更新证书，或减少证书的范围，那么决定应该尽快逆转申诉人没有进一步的成本。



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All other appeals will be considered on their own merits; however, no decision by the Scheme Committee should be seen to be circumventing due process, in as much as, a certificate holder must have demonstrated his/her competence by passing the appropriate examination in accordance with the rules.

所有其他申诉将根据其本身的案情进行考虑；然而，计划委员会的任何决定都不应被视为规避正当程序，因为证书持有人必须根据规则通过适当的考试以证明其能力。

Other decisions by the Appeals Panel could include 'issuing a certificate subject to certain conditions', 're-sitting part of an examination', 'gaining more experience', 'additional surveillance' or any other measure that is seen to be fair and appropriate.

申诉小组的其他决定可能包括“在某些条件下颁发证书”、“重新参加考试的一部分”、“获得更多经验”、“额外监视”或任何其他被视为公平和适当的措施。

#### 7.2. Complaints 投诉

7.2.1. Certification process - For the purpose of this document, complaints about the Certification process is confined to published CB documentation and local procedures used to manage the certification process; complaints about individuals' use and interpretation of documented information and local procedures are likely to be made against the CB. As the published documents undergo a rigorous review and approval process, it is unlikely that complaints will be made against the content of these documents; however, if a complaint is made and upheld regarding these documents, then the document in question will be referred to the Scheme Committee for review and recommendation.

认证过程-就本文件而言，对认证过程的投诉仅限于已公布的 CB 文件和用于管理认证过程的本地程序文件；在个人使用和解释文件信息和当地程序的方面，可能会对 CB 提出投诉。由于公布的文件经过严格的审查和批准程序，不太可能对这些文件的内容提出投诉；但是，如果对这些文件提出投诉并维持支持，则有关文件将提交计划委员会进行审查和建议。

7.2.2. CB-If a complaint is made against the CB, then care should be taken to confine the investigation to the use and interpretation of the CB documentation and working procedures; If it transpires that a complaint against the use and interpretation of the CB documentation and working procedures is upheld then the matter needs to be rectified as soon as possible and if appropriate an apology issued.

CB-如果对 CB 提出投诉，则应注意将调查范围限制在 CB 文件和工作程序的使用和解释上；如果发现对 CB 文件和工作程序的使用和解释的投诉得到证实，则需要尽快予以纠正，并酌情致歉。

7.2.3. ATO-With regards to a complaint against an ATO being upheld, it is very difficult to predetermine penalties without knowing the severity of the offence. However some suggestions are listed below in descending order:

ATO-对于证实对 ATO 的投诉，很难在不知道违反行为的严重程度的情况下事先确定处罚。然而，下面按降序列出了一些建议：

#### **Mild response 轻度反应**

- Letter from the Head of certifications pointing out the error and requiring specified corrective action.



认证主管指出错误并要求采取具体纠正措施的文书。

- Letter from the Head of certifications demanding better performance in the future

认证主管的要求未来更好的表现的文书

- Require an ATO to re-train,

要求 ATO 接受重新培训

- Temporarily suspending operations of an ATO

暂时 ATO 运行

- Immediate surveillance audit of the ATO

对 ATO 的立即执行监督审核

- Immediate reassessment audit of the ATO

对 ATO 立即进行重新评估审核

#### **Uncompromising response 强硬反应**

- Withdraw ATO approval

吊销 ATO 许可

7.2.4. Certificate holder—If a complaint is made against a certificate holder, it is likely to be for one of two fundamental reasons, either there is an issue relating to technical competence or there is an issue relating to the Code of Conduct.

证书持有人——如果对证书持有人提出投诉，很可能有两个基本原因之一，要么是与技术能力有关的问题，要么是与行为准则有关的问题。

If a complaint is made about a certificate holder's technical competence, then only penalties relating to the Method should be considered. However, within the Method, it may be possible to apply the penalties to one or more Categories. If the complaint is more generic in nature, it may be appropriate to apply penalties to the whole NDT Method. Penalties could include:

如果对证书持有人的技术能力提出投诉，则只考虑与该方法有关的处罚。但是，在该方法中，可以对一个或多个类别施加惩罚。如果投诉在性质上更一般，它可能对整个 NDT 方法适用处罚是适当的。处罚可能包括：

- Immediate re-training and re-examination in the Category

立即进行重新培训和重新考试

- loss of Category and/or Method certification for a short period, then restore certification

短期内失去类别和方法认证，则重新恢复认证

- loss of Category and/or Method certification for a short time, then re-training and re-examination

短期内失去类别和方法认证，则重新培训和重新考核

- loss of certification for a year or more and reversion to initial candidate

超过 1 年失去认证，降级为初始报考人





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Note: all of the above penalties should have a time period associated with them.

注意：上述所有处罚都应有与之相关的时间段。

If the complaint is about a certificate holder not complying with the Code of Conduct then penalties ought to be considered for all Methods and not just the Method for which the complaint applied to, for example: if the certificate holder is found guilty of falsifying ultrasonic reports and, in addition to Ultrasonic Inspection he/she holds certification in MPI and Radiography, then the penalties should apply to all three Methods. Depending on the severity of the offence, penalties could include:

- loss of Method certification for a short time, then reissue certification  
短期内失去方法认证，则重新颁发认证
- loss of Method certification for a longer time, then reissue certification  
方法认证丢失的时间较长，则重新颁发认证
- loss of all Methods certification for a short time, then reissue certification  
在短时间内丢失所有方法认证，则重新颁发认证
- loss of all Methods certification for a longer time, then reissue certification  
丢失所有方法认证较长的时间，则重新颁发认证
- suspension for a year or more and reversion to initial candidate  
暂停一年或一年以上，降级为初始报考人
- Reporting to the authorities  
向官方机构报告

Note1: all of the above penalties should have a time period associated with them.

注 1：上述所有处罚都应有与之相关的时间段。

Note2: Any substantiated complaint about a certified person will also be referred by the certification body to the certified person in question at an appropriate time.

注 2：认证机构亦须在适当时间将对某一持证人士的任何经证实的投诉转介给该持证人士。

## 8. Complaints and Appeals Constitution, Terms of reference and Method of Working

### 投诉和申诉章程，职权范围和工作方法

#### 8.1. Constitution 5 章程

8.1.1. The Complaints and Appeals shall be constituted of not less than three ordinary members of the Scheme Committee they can include Head of certifications And one other to be concerned solely with the interests of the complainant or appellant. At least one member will have technical expertise relevant to the complaint or appeal under consideration.

投诉及申诉须由不少于三名计划委员会的普通成员组成，他们可包括证书主管，而另一名则只涉及投诉人或申诉人的利益。至少有一名成员将具有与正在考虑中的投诉或申诉有关的技术专长。

8.1.2. No person having a direct interest in the complaint or appeal shall serve on the committee. One of the Scheme Committee members will chair the meeting.



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与投诉或申诉有直接利害关系的人不得在委员会任职。计划委员会的一名成员将主持这次会议。

#### 8.2. Terms of reference 职权范围

The Certification Scheme Committee for assessing individual cases of complaint or appeal.

评估个别投诉或申诉个案的认证计划委员会。

#### 8.3. Method of Working 工作方法

8.3.1. The Head of certifications will gather all necessary information from the parties concerned in order that the case can be fully assessed.

认证主管将从有关各方收集所有必要的信息，以便对案件进行充分评估。

8.3.2. A meeting shall be convened within 42 days of receipt of a complaint; a scheduled Scheme Committee meeting could be used to facilitate such a meeting – subject to conditions of confidentiality and impartiality.

应在收到投诉后 42 天内召开会议；预定的计划委员会会议应符合保密和公正的条件。

Note: If an appeal or complaint is urgent, the Head of certifications has the authority to convene a meeting as soon as the appropriate information is gathered.

注：如果申诉或投诉很紧急，认证主管有权在收集到适当的信息后立即召开会议。

8.3.3. The meeting shall take into consideration all of the material submitted when reaching a decision. Where the meeting is able to reach a unanimous decision, the Head of certifications will implement the decision and submit a brief report of the circumstances and decision to the next meeting of the Scheme Committee.

会议在作出决定时，应考虑到所提交的所有材料。如果会议能够达成一致的決定，认证主管将执行该决定，并向计划委员会下次会议提交有关情况和决定的简要报告。

8.3.4. If the decision of the meeting is not unanimous, it shall be referred to the next ordinary meeting of the Scheme Committee whom shall either make a decision by a majority of 75% of attending voting members.

如会议的决定没有获得一致同意，应提交计划委员会的下次例会，该委员会应以 75% 出席投票的成员的多数作出决定。

#### 9. Records 记录

F-15 Complaints and appeals register 投诉与申诉受理登记表