

## 认证活动反馈信息处理程序

# Procedure for Processing Feedback Information of Certification Activities

### 1 申诉

#### The appeal

##### 1.1 申诉的提出

##### Appeal filing

认证申请人或认证组织应在接到公司的决定（含申请的受理及评审、审核结论、认证授予、扩大、暂停、撤消、缩小等决定）或措施后 10 日内向公司提出申诉。申诉方应提交书面申请并说明对公司处理意见提出异议的理由，并尽可能提交相关证据。申诉应以书面的方式经申诉方负责人签名盖章后提交给公司。并同时提供申诉人的姓名和联系方式。

The certification applicant or certification organization shall appeal to the company within 10 days after receiving the company's decision (including the acceptance and review of the application, audit conclusion, certification award, expansion, suspension, withdrawal, reduction, etc.) or measures. The complaining party shall submit a written application and explain the reasons for objecting to the company's handling opinion, and submit relevant evidence as much as possible. The appeal shall be submitted to the company in writing, signed and sealed by the person in charge of the complaining party. Also provide the complainant's name and contact information.

##### 1.2 申诉的调查和处理

##### Investigation and handling of complaints

1.2.1 客服部在收到申诉时必须于第一时间在《申诉、投诉和争议处理登记表》上登记相关信息，并立即报告给本部门负责人。本部门负责人应在 1 小时内核实、验证相关信息，并签字确认。

When the customer service department receives an appeal, it must register the relevant information on the "Appeal, Complaint and Dispute Handling Registration Form" as soon as possible, and report it to the person in charge of the department immediately. The person in charge of this department should verify and verify the relevant information within 1 hour, and sign for confirmation.

1.2.2 根据签字确认后《申诉、投诉和争议处理登记表》填写《认证活动反馈信息处理单》，当日内立即上报公司管理者代表审核，经总经理审批。参与申诉处理过程的人员应保证没有实施申诉涉及的审核，也没有做出申诉涉及的认证决定，参与人员应与申诉事项无关。

Fill in the "Certification Activity Feedback Information Processing Form" according to the "Appeal, Complaint and Dispute Handling Registration Form" after the signature and confirmation, and immediately report it to the company's management representative for review and approval by the general manager. The personnel involved in the appeal handling process shall ensure that no audit involved in the appeal has been carried out, and no certification decision involved in the appeal has been made, and the participants should have nothing to do with the appeal.

1.2.3 客服部将审批意见在次日内以书面形式通知申诉方，并告知申诉方对申诉的处理进程，同时启动调查程序。在收到申诉后的 2 周内，应提供初步反馈，包括针对申诉提出的后续行动方案。

The customer service department will notify the complaining party in writing of the approval opinion within the next day, and inform the complaining party of the processing process of the complaint, and start the investigation procedure at the same time. Initial feedback should be provided within 2 weeks of receipt of the grievance, including a proposed follow-up action plan for the grievance.

1.2.4 客服部在 30 日内对申诉事件进行调查、取证及核实，并形成申诉调查报告。

The customer service department will investigate, collect and verify the complaint incident within 30 days, and form a complaint investigation report.

1.2.5 调查方式可包括召集听证会议、听取双方提供陈述、现场调查、调取书面文件等。对于需要召集听证会议的，客服部在召开听证会时间的前 10 天将会议的时间、地点通知申诉方及有关各方。双方均有权在不迟于听证会召开前 5 日提出有关证人的姓名和地址。

Investigation methods may include convening a hearing meeting, hearing statements provided by both parties, on-site investigation, and obtaining written documents, etc. If it is necessary to convene a hearing meeting, the customer service department will notify the complaining party and relevant parties of the time and place of the meeting 10 days before the hearing time. Both parties have the right to provide the names and addresses of witnesses no later than 5 days before the hearing.

1.2.6 客服部根据申诉调查报告三日内应做出有根据的分析与判断，并提出书面处理意见，提交管理者代表审核，并经总经理批准。在收到申诉的3个月内，调查这些指控，并指定所有针对申诉的提议行动。

The customer service department should make a well-founded analysis and judgment within three days according to the complaint investigation report, and put forward written handling opinions, which will be submitted to the management representative for review and approved by the general manager. Within 3 months of receipt of the complaint, investigate the allegations and designate all proposed actions against the complaint.

1.2.7 客服部在次日内将最终处理意见以书面形式通知申诉方和公司责任部门。

The customer service department will notify the complainant and the company's responsibility department in writing of the final handling opinion within the next day

1.2.8 申诉方对最终处理意见表示满意时，客服部负责监督对最终处理意见的落实。

When the complainant is satisfied with the final handling opinion, the customer service department is responsible for supervising the implementation of the final handling opinion.

1.2.9 申诉方如对最终处理意见不满意时，认为认证机构未遵守认证相关法律法规并导致自身合法权益受到严重侵害，可直接向相关认可机构(例如 ASI)、所在地认证监管部门或国家认证认可监督管理机关进行申诉或投诉。

If the complainant is not satisfied with the final treatment opinion, and believes that the certification body has not complied with the relevant laws and regulations of certification and has caused serious infringement of its own legitimate rights and interests, it can directly appeal or complain to the relevant accreditation body (such as ASI), the local certification supervision department or the national certification and accreditation supervision and management authority.

## 2 投诉

### Complaints

#### 2.1 投诉的提出

##### Submission of complaints

任何组织或个人均可以通过电话、函件等任何途径向本公司投诉认证实施的有关问题（对公司的方针、运作过程和认证结果及认证人员的表现不满意或对获证组织的产品、认证证书与认证/认可标志的使用不满意），原则上应在该事件发生以后30日内，须提供所投诉事件的

细节情况、证明材料。并提供投诉人的姓名和联系方式。通常情况下，本公司不受理匿名投诉。如投诉人有要求，本公司可保留投诉人与客户的关系的匿名性。

Any organization or individual can by telephone, correspondence and other complaints to the company any way to certification implementation of relevant issues (for the company's policies, processes and results of the certification and certification of personnel are not satisfied with the performance of, or to the certification organization's products, the use of the certification certificate and certification/accreditation mark dissatisfied), in principle, should be within 30 days after the incident, The details and supporting materials of the complaint must be provided. And provide the name and contact information of the complainant. As a rule, we do not accept anonymous complaints. The Company reserves the anonymity of the complainant's relationship with the customer if so requested.

## 2.2 投诉的调查和处理

### Complaint investigation and handling

2.2.1 客服部在收到投诉后必须于第一时间在《申诉、投诉和争议处理登记表》登记相关信息，并立即报告给本部门负责人。本部门负责人应在 1 小时内核实、验证相关信息，填写《认证活动反馈信息处理单》并签字确认。（针对 FSC-COC 项目，还应向 FSC 登记所有投诉。投诉方亦可向 ASI 进行投诉，该投诉最终可能会被提交到 FSC 进行处理）

After receiving the complaint, the customer service department must register the relevant information in the "Appeal, Complaint and Dispute Handling Registration Form" as soon as possible, and report it to the person in charge of the department immediately. The person in charge of this department should verify and verify the relevant information within 1 hour, fill in the "Certification Activity Feedback Information Processing Form" and sign for confirmation. (For FSC-COC projects, all complaints should also be registered with the FSC. The complainant may also file a complaint with ASI, which may eventually be referred to the FSC for processing)

2.2.2 客服部在《认证活动反馈信息处理单》签字确认后，并于当日内应立即上报公司管理者代表审核，并经总经理审批。

After signing and confirming the "Certification Activity Feedback Information Processing Form", the customer service department should immediately report it to the company's management representative for review and approval by the general manager.

2.2.3 如投诉的理由成立，参与投诉处理过程的人员应保证没有实施投诉涉及的审核，也没有做出投诉涉及的认证决定，参与人员应与投诉事项无关。

If the reason for the complaint is established, the personnel involved in the complaint handling process shall ensure that no audit involved in the complaint has been carried out, and no certification decision involved in the complaint has been made, and the participants should have nothing to do with the matter of the complaint.

2.2.4 如投诉的理由不成立，客服部依据审批意见撤销投诉。

If the reason for the complaint is not established, the customer service department will withdraw the complaint according to the approval opinion

2.2.5 客服部依据审批意见在次日内起草完成《认证活动反馈信息公告》必要时予以公示，并告知投诉方对投诉的处理进程，同时启动调查程序。

According to the approval opinions, the customer service department will draft and complete the "Certification Activity Feedback Information Announcement" within the next day and publicize it when necessary, and inform the complainant of the complaint handling process, and at the same time start the investigation process.

2.2.6 客服部在公告发布之日起一周内对投诉事件进行调查、取证及核实，并形成投诉调查报告。在收到投诉后的2周内，应提供初步反馈，包括针对投诉提出的后续行动方案。

The customer service department will investigate, collect evidence and verify the complaint within two weeks from the date of the announcement, and form a complaint investigation report. Initial feedback, including a proposed follow-up action plan for the complaint, should be provided within 2 weeks of receipt of the complaint.

2.2.7 如被投诉的问题是属于公司的问题，客服部要求责任部门负责人应在公告发布之后在规定的时间内完成提交《纠正/预防措施报告》。

If the complained problem belongs to the company, the customer service department requires the person in charge of the responsible department to submit the Corrective/Preventive Action Report within the specified time after the announcement.

2.2.8 如被投诉的问题是针对客服部，客服部应遵循回避原则，由总经理指定专人对投诉内容进行调查。

If the complaint is directed at the customer service department, the customer service department

should follow the principle of avoidance, and the general manager will designate a special person to investigate the content of the complaint.

2.2.9 如被投诉的是经公司认证的组织，客服部向该组织以书面形式通知，要求该组织对投诉的问题做出书面说明，并提交相关证据。必要时，公司将进行现场调查。调查时还应考虑认证组织管理体系的有效性，如要求认证组织采取适当的纠正和纠正措施，如证实该组织的管理体系的有效性存在问题时，将涉及缩小、暂停或撤消该组织的管理体系认证。

If the complained is an organization certified by the company, the customer service department will notify the organization in writing, requiring the organization to make a written explanation of the complaint and submit relevant evidence. When necessary, the company will conduct on-site investigations. The investigation should also take into account the effectiveness of the certified organization's management system. If the certified organization is required to take appropriate corrective and corrective actions, if there is a problem with the effectiveness of the organization's management system, it will involve downsizing, suspending or withdrawing the organization's management. System Certification.

2.2.10 调查方式可包括召集听证会议、听取双方提供陈述、现场调查、调取书面文件等。对于需要召集听证会议的，客服部在召开听证会时间的前 10 天将会议的时间、地点通知投诉双方及有关各方。双方均有权在不迟于听证会召开前 5 日提出有关证人的姓名和地址。

Investigation methods may include convening a hearing meeting, hearing statements provided by both parties, on-site investigation, and obtaining written documents, etc. If it is necessary to convene a hearing meeting, the Customer Service Department will notify both parties of the complaint and relevant parties of the time and place of the meeting 10 days before the time of the hearing. Both parties have the right to provide the names and addresses of witnesses no later than 5 days before the hearing.

2.2.11 客服部根据投诉调查报告三日内应做出有根据的分析与判断，并提出书面处理意见，提交管理者代表审核，并经总经理批准。

The customer service department should make a well-founded analysis and judgment based on the complaint investigation report within three days, and put forward written handling opinions, which will be submitted to the management representative for review and approved by the general manager.



2.2.12 客服部依据批准后的处理意见，在次日内完成起草《认证活动反馈处理公告》，必要时予以公示，并及时将公告以书面形式通知投诉方。在收到投诉的3个月内，调查这些指控，并指定所有针对投诉的提议行动。

The customer service department will complete the drafting of the "Certification Activity Feedback Processing Announcement" within the next day according to the approved handling opinions, publicize it if necessary, and notify the complainant in writing of the announcement in time. Within 3 months of receipt of the complaint, investigate the allegations and designate all proposed actions against the complaint.

2.2.13 投诉方对最终处理意见表示满意时，客服部负责监督对最终处理意见的落实。如被投诉的是公司认证的组织，对于需要采取纠正预防措施，公司应要求该组织采取纠正预防措施报客服部。客服部（必要时，会同技委会）对认证组织提交的纠正预防措施的有效性进行现场验证。

When the complainant is satisfied with the final handling opinion, the customer service department is responsible for supervising the implementation of the final handling opinion. If the complainant is an organization certified by the company, if corrective and preventive measures need to be taken, the company shall require the organization to take corrective and preventive measures and report to the customer service department. The Customer Service Department (in conjunction with the Technical Committee, if necessary) confirms the feasibility of corrective and preventive actions submitted by the certification organization. When necessary, the company conducts on-site verification of the effectiveness of the certified organization's corrective and preventive actions.

2.2.14 投诉方如对最终处理意见不满意时，可以向公司提出复审，公司客服部将该投诉提交至公正性委员会进一步调查、复审，如认为认证机构未遵守认证相关法律法规并导致自身合法权益受到严重侵害，可直接向相关认可机构(例如 ASI)、所在地认证监管部门或国家认证认可监督管理机关进行投诉。

If the complainant is dissatisfied with the final handling opinion, it can submit a review to the company, and the customer service department of the company submits the complaint to the impartiality committee for further investigation and review. Infringement, you can directly file a complaint with the relevant accreditation agency (such as ASI), the local certification supervision department or the national certification and accreditation supervision and management agency.

2.2.15 本公司应将匿名投诉和未经证实的不满表达视为投诉，作为利益相关者的意见，并在下次审核期间予以解决。

The Company should treat anonymous complaints and unsubstantiated expressions of dissatisfaction as complaints, as the opinions of stakeholders, and should resolve them during the next audit.

### 3 争议

#### Dispute

##### 3.1 争议提出

#### Dispute Filing

3.1.1 在审核过程中提出的争议，由审核组组长与受审核方在审核过程中或未次会议前，依据管理体系标准和相关认证要求协商处理。审核组必要时可对现场再做进一步核实，确保审核结果实事求是。如双方不能够达成一致时，审核组组长须将双方争议的焦点及时上报公司技委会。技委会提出处理意见，如仍不满意，申请方/受审核方可以在 10 日内以书面形式向公司提出争议。

Disputes raised during the audit process shall be resolved through consultation between the audit team leader and the auditee during the audit process or before the final meeting according to the management system standards and relevant certification requirements. If necessary, the audit team can further verify the site to ensure that the audit results are realistic. If the two parties cannot reach an agreement, the head of the audit team must report the focus of the dispute between the two parties to the company's technical committee in a timely manner. The technical committee puts forward handling opinions. If they are still not satisfied, the applicant/auditee can file a dispute with the company in writing within 10 days.

3.1.2 对在其他场合出现的争议，双方应依据认证制度、认证程序及国家相关要求首先协商解决，如双方不能够达成一致时，申请/接受认证审核的组织可以在 10 日内以书面形式向公司提出争议。

For disputes arising on other occasions, the two parties should first negotiate and resolve the disputes according to the certification system, certification procedures and relevant national requirements. If the two parties cannot reach an agreement, the organization applying for/accepting the certification audit can file a dispute with the company in writing within 10 days. .



## 3.2 争议的处理

### Dispute settlement

3.2.1 客服部受理争议后，上报管理者代表，通知争议所涉及的公司相关部门负责人或指定有关人员。

After the customer service department accepts the dispute, it will be reported to the management representative, and the person in charge of the relevant department of the company involved in the dispute or designated relevant personnel will be notified.

3.2.2 由公司相关部门负责人或指定有关人员对提出的争议进行研讨，根据现场审核发现依据管理体系标准等相关的认证要求，就争议的焦点提出处理意见，并提交管理者代表批准。

The person in charge of the relevant department of the company or the designated personnel should discuss the proposed disputes, put forward handling opinions on the focus of the disputes according to the on-site audit findings and relevant certification requirements such as management system standards, and submit them to the management representative for approval.

3.2.3 客服部负责将最终处理意见通知公司相关部门和争议提出方。

The Customer Service Department should be responsible for notifying relevant departments of the Company and the party proposing the dispute of the final disposal opinions.

3.2.4 争议提出方对最终处理意见表示满意时，客服部负责监督执行。

If the party proposing the dispute is satisfied with the final disposal opinion, the Customer Service Department should be responsible for supervising the implementation.

3.2.5 当争议提出方不满意所得到的答复时，可以向公司公正性委员会提出复审，也可直接向相关认可机构、所在地认证监管部门或国家认证认可监督管理机关进行投诉。

When the dispute proposer is not satisfied with the reply, he/she can submit a review to the Company Impartiality Committee, or directly lodge a complaint to the relevant accreditation body, the local certification supervision department or the national certification and accreditation supervision and administration authority.

## 4 表扬

### Praise

#### 4.1 表扬的提出

##### Praise

任何组织或个人均可以通过电话、函件等任何途径向本公司在认证实施过程中提出表扬，原则上应在该事件发生以后一个月内，须提供所表扬事件的细节情况、证明材料。

Any organization or individual can praise the company in the process of certification through telephone, letter and other ways, in principle, should be within one month after the occurrence of the event, must provide the details of the event, proof materials.

#### 4.2 表扬的调查和处理

##### Praise investigation and treatment

4.2.1 客服部有责任必须于第一时间在《认证活动反馈信息处理单》上登记相关信息，并立即报告给本部门负责人。本部门负责人应在 1 小时内核实、验证相关信息，并签字确认后处理。

It is the responsibility of the customer service department to register relevant information on the "Certification Activity Feedback Information Processing Form" as soon as possible, and report it to the person in charge of the department immediately. The person in charge of this department should verify and verify the relevant information within 1 hour, and then process it after signing and confirming.

4.2.2 客服部应在次日内填写《工作联络单》发送给责任部门负责人，责任部门负责人应在二个工作日内完成相关表扬事实反馈。

The Customer Service Department should fill in the Work Contact Form and send it to the responsible department head within the next day. The responsible department head should complete the relevant praise and feedback within two working days.

4.2.3 客服部在收到《工作联络单》当日内报告公司管理者代表或总经理。由公司管理者代表或总经理应安排专人对表扬事件有效性予以验证。

The Customer Service Department should report to the management representative or general manager of the company within the day of receipt of the Working Contact Form. The management representative or general manager of the company should arrange a special person to verify the validity of the praise event.

4.2.4 对经验证属实的表扬事件，客服部应及时起草《嘉奖公告》并报总经理批准。必要时予以公示。

For the verified praise events, the Customer Service Department should draft the Announcement of Commendation in time and submit it to the General Manager for approval. Announcement when necessary.

## 5 记录与保密

### Record and Confidentiality

5.1 客服部应保存所有申投诉、争议以及与认证有关的补救措施的记录。

The Customer Service Department should keep records of all complaints, disputes and remedial actions related to certification.

5.2 处理申投诉的工作人员应对相关未公开的信息负有保密的责任。

The staff handling the complaint should be responsible for the confidentiality of the relevant undisclosed information.

## 6 费用支付

### Payment of Fees

6.1 经调查确认，申投诉的理由不成立时，因该项申诉、投诉及争议发生的费用由当事人或委托人支付。

If it is confirmed by investigation that the reason for the complaint is not established, the expenses incurred in connection with the complaint, complaint and dispute should be paid by the parties or the principal.

6.2 经调查确认，申投诉的理由成立，其责任在应诉方，所发生的费用由应诉方支付。

After investigation, it is confirmed that the reason for complaint is established, the respondent should be held responsible, and the expenses incurred should be paid by the respondent.

6.3 经调查确认，当事人和应诉方均对该项申、投诉负有责任时，则该项发生的费用由双方协商解决。

If it is confirmed through investigation that both the parties concerned and the respondent are responsible for the claim or complaint, the expenses incurred should be settled by both parties through negotiation.