

安诺尔认证服务（上海）有限公司

AENOR Certification Services (Shanghai) Ltd.

认证活动申投诉处理控制程序

Management Procedure of the Appeal and Complaint Process

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编写主责部门：总经办

1 申诉 Appeal

1.1 申诉的提出 Filing of a complaint

当认证申请人或获证组织对本机构所做的认证决定有异议,可在接到认证决定或措施后 10 日内向本机构提出申诉。申诉方应提交书面申请并签字盖章,申请应说明对本机构处理意见提出异议的理由,并尽可能提交相关证据。When the certification applicant or the certified organization has any objection to the certification decision made by the agency, they can appeal to the agency within 10 days after receiving the certification decision or measure. The complaining party shall submit a written application with signature and seal. The application shall state the reasons for objecting to the handling opinion of the institution, and submit relevant evidence as much as possible.

1.2 申诉的调查和处理 Investigation and Handling of Complaints

1.2.1 受理人员将在第一时间内在《申诉、投诉和争议处理登记表》登记相关信息,并立即报告相关负责人。负责人应在 1 小时内核实、验证相关信息,并签字确认后,提交客服人员处理。同时需通知 AENOR 西班牙。The receptionist will register the relevant information on the "Appeal, Complaint and Dispute Handling Registration Form" as soon as possible and report it to the relevant person in charge immediately. The person in charge should verify and verify the relevant information within 1 hour, sign and confirm, and submit it to the customer service staff for processing.And reporting to AENOR Spain.

1.2.2 客服人员应于当日立即上报公司管理者代表或总经理审批后,并依据审批意见组成申投诉处理工作组。确保参与申诉处理过程的人员没有实施该项目的审核和技术评审。The customer service staff shall immediately report to the company manager representative or general manager for approval within the same day, and form a complaint handling working group based on the approval opinions. Ensure that those involved in the grievance process have not implemented the program's audit and technical review.

1.2.3 客服人员应在次日内以书面形式通知申诉方,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 staff shall notify the complaining party in writing within the next day and initiate 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 本机构将在 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并发送 AENOR 西班牙。The agency will investigate, collect evidence and verify the complaint within 30 days, and form a complaint investigation report and submit to AENOR Spain.

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，客服人员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 staff 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 客服人员应在接到最终调查报告的次日内，将最终处理意见以书面形式通知申诉方和公司责任部门。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 staff shall notify the complainant and the corporate responsibility department in writing of the final handling opinion within the next day after receiving the final investigation report. Within 3 months of receipt of the complaint, investigate the allegations and designate all proposed actions against the complaint.

1.2.7 申诉方对最终处理意见表示满意时，客服人员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 staff is responsible for supervising the implementation of the final handling opinion.

1.2.8 申诉方如对最终处理意见不满意时，可直接向 AENOR 西班牙、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申诉或投诉。If the complainant is not satisfied with the final handling opinion, it may directly report to AENOR Spain, the relevant accreditation body, local certification authority or The national certification and accreditation supervision and administration authority makes an appeal or complaint.

2 投诉 complaints

2.1 投诉的提出 Filing of a complaint

任何组织或个人均可以通过电话、函件等途径向本机构投诉认证实施的有关问题，

应在该事件发生后 30 日内。投诉人应提供所投诉事件的细节情况、证明材料。通常情况下，本公司不受理匿名投诉。Any organization or individual can complain to this agency about issues related to the implementation of certification through telephone, letter, etc., within 30 days after the occurrence of the incident. The complainant shall provide details and supporting materials of the complained incident. Normally, the Company does not accept anonymous complaints.

2.2 投诉的调查和处理 Investigation and handling of complaints

2.2.1 本机构受理人员应于第一时间在《申诉、投诉和争议处理登记表》登记相关信息，并立即报告相关部门负责人。负责人应在 1 小时内核实、验证相关信息，并签字确认后，提交客服人员处理并发送 AENOR 西班牙。The acceptance personnel of this institution shall 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 relevant department immediately. The person in charge should verify and verify the relevant information within 1 hour, sign and confirm, and submit it to the customer service staff for processing and reporting to AENOR Spain.

2.2.2 客服人员应于当日立即上报公司管理者代表或总经理审批。The customer service staff shall immediately report to the company management representative or general manager for approval within the same day.

2.2.3 如投诉的理由成立，客服人员依据审批意见组成申投诉处理工作组。应确保参与投诉处理过程的人员未涉及该项目的审核和认证决定。 If the reason for the complaint is established, the customer service staff will form a complaint handling working group based on the approval opinions. It should be ensured that those involved in the complaint handling process are not involved in the audit and certification decisions of the program.

2.2.4 如投诉的理由不成立，本机构将不启动处理程序。如投诉理由成立，本机构将启动调查程序。同时需通知 AENOR 西班牙。If the reason for the complaint is not established, the agency will not initiate the processing procedure. If the grounds for the complaint are established, the agency will initiate an investigation procedure. And inform AENOR Spain.

2.2.5 本机构将在确认投诉理由后二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，提供初步反馈，包括针对投诉提出的后续行动方案。The agency will investigate, collect evidence and verify the complaint within two weeks after confirming the

reasons for the complaint, and form a complaint investigation report, provide initial feedback, including a proposed follow-up action plan for the complaint.

2.2.6 如被投诉的问题属于本机构的问题，客服人员要求责任部门负责人应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 agency, the customer service staff requires the person in charge of the responsible department to complete and submit the Corrective/Preventive Action Report within the specified time.

2.2.7 如被投诉的问题是针对本机构的客服人员，客服人员应遵循回避原则，应由管理者代表组织人员进行调查。If the complaint is against the customer service staff of the institution, the customer service staff should follow the principle of avoidance, and the manager should conduct an investigation on behalf of the organization personnel.

2.2.8 如被投诉的问题是经本机构认证的组织，客服人员应书面通知该组织，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，本机构将进行现场调查。调查时还应考虑认证组织管理体系的有效性，如证实该组织的管理体系的有效性存在问题时，将启动缩小、暂停或撤消该组织认证的程序。If the complained issue is an organization certified by the agency, the customer service staff shall notify the organization in writing, requesting the organization to make a written explanation of the complained issue and submit relevant evidence. When necessary, the agency will conduct on-site investigations. The effectiveness of the certification organization's management system should also be considered during the investigation. If it is confirmed that there is a problem with the effectiveness of the organization's management system, the procedures for reducing, suspending or withdrawing the organization's certification will be initiated.

2.2.9 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，客服人员应在召开听证会前 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 staff shall notify both parties of the complaint and relevant parties of the time and place of the meeting 10 days before the hearing. Both parties have the right to provide the names and addresses of witnesses no later than 5 days before the hearing.

2.2.10 本机构申投诉处理工作组应本着公正，客观的原则，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 organization's application and complaint handling working group shall, based on the principle of fairness and objectivity, make a well-founded analysis and judgment, and put forward written handling opinions, which shall 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.

2.2.11 客服人员在接到最终处理意见后次日内，书面通知投诉方。The customer service staff shall notify the complainant in writing within the next day after receiving the final handling opinion.

2.2.12 投诉方对最终处理意见表示满意时，客服人员负责监督对最终处理意见的落实。并发送 AENOR 西班牙。When the complainant is satisfied with the final handling opinion, the customer service staff is responsible for supervising the implementation of the final handling opinion and submit to AENOR Spain.

2.2.13 投诉方如对最终处理意见不满意时，可以向本机构提出复审，本机构将该投诉提交至公正性委员会进一步调查，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 AENOR 西班牙，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（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）。If the complaining party is not satisfied with the final handling opinion, it can submit a review to the agency, and the agency submits the complaint to the Fairness Committee for further investigation. Comply with the relevant laws and regulations of certification and cause serious infringement of their legitimate rights and interests, directly to AENOR Spain, the relevant accreditation body, local certification authority or The national certification and accreditation supervision and administration authority makes a complaint (for the FSC-COC project, all complaints should also be registered with the FSC. The complainant can also file a complaint with ASI, which may eventually will be submitted to the FSC for processing).

3 争议 Controversy

3.1 争议提出 Filing of disputes

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末次会议前，依据相关标准、规则和相关认证要求协商处理。必要时，审核组应对现场再做进一步核实，确保结果基于客观事实。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本机构。本机构技委会提出处理意见，如仍不满意，受审核组织方可在 10 日内以书面形式向公司正式提出争议。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 relevant standards, rules and relevant certification requirements. When necessary, the audit team should conduct further verification on site to ensure that the results are based on objective facts. 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 agency in a timely manner. The technical committee of the institution proposes handling opinions. If they are still dissatisfied, the audited organization can formally 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 may submit a written request within 10 days. The company files a dispute.

3.2 争议的处理 Handling of disputes

3.2.1 本机构在接到争议后，上报管理者代表，通知争议所涉及的相关部门负责人或指定有关人员。After receiving the dispute, the agency shall report it to the management representative and notify the person in charge of the relevant department involved in the dispute or designate relevant personnel.

3.2.2 本机构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标准，规则等相关的认证要求，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 institution or designated relevant personnel shall discuss the proposed dispute, and according to the relevant certification

requirements such as the standards and rules found in the on-site audit, put forward the handling opinions on the focus of the dispute, and submit it to the management representative for approval.

3.2.3 客服人员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 staff is responsible for notifying the relevant departments of the company and the party raising the dispute of the final handling opinion.

3.2.4 争议提出方对最终处理意见表示满意时，客服人员负责监督执行。When the party raising the dispute is satisfied with the final settlement opinion, the customer service staff is responsible for supervising the implementation.

3.2.5 当争议提出方不满意所得到的答复时，可以向本机构公正性委员会提出复审，也可直接向 AENOR 西班牙，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 party making the dispute is not satisfied with the answer, it can submit a review to the impartiality committee of the institution, or directly to AENOR Spain, the relevant accreditation institution, local certification authority or The national certification and accreditation supervision and administration authority makes a complaint.

4 表扬 praise

4.1 表扬的提出 Offer of 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。提出人或组织须提供所表扬事件的细节情况、证明材料。Any organization or individual can submit a commendation to the company in the process of certification implementation by phone, letter, etc. In principle, it should be within one month after the occurrence of the incident. The proposer or organization must provide details and supporting materials of the event being praised.

4.2 表扬信息的核实 Verification of praise information

4.2.1 接收信息人必须第一时间登记相关信息，并报告相关部门负责人。The person receiving the information must register the relevant information as soon as possible and report it to the person in charge of the relevant department.

4.2.2 相关部门负责人应在二个工作日内完成相关表扬事实反馈。The person in charge of the relevant department should complete the feedback of the relevant praise facts within two

working days.

4.2.3 客服人员在收到反馈后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实予以验证。The customer service staff will report to the company manager representative or general manager within the same day after receiving the feedback. The company management representative or general manager should arrange a special person to verify the fact of the praise.

4.2.4 对经验证属实的，客服人员应及时起草嘉奖公告并报总经理批准。并传达到所有员工。For those verified to be true, the customer service staff shall promptly draft the award announcement and submit it to the general manager for approval. and communicated to all employees.

5 记录与保密 Records and Confidentiality

5.1 客服人员应保存所有申投诉、争议以及与认证有关纠正和纠正措施的记录。The Administration shall keep records of all complaints, disputes, and rectifications and corrective actions related to certification.

5.2 参与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 involved in handling complaints shall be responsible for the confidentiality of relevant undisclosed information.

6 费用支付 Fee payment

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。After investigation and confirmation, if the reason for filing a complaint is not established, the expenses arising from the complaint, complaint and dispute shall be paid by the party concerned or the client.

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 and confirmation, the reason for the complaint is established, the responsibility of which lies with the respondent, and the expenses incurred shall 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。When it is confirmed through investigation that both the party and the

respondent are responsible for the application or complaint, the expenses incurred shall be settled through negotiation by both parties.