

挪亚检测认证集团有限公司

NOA Testing & Certification Group Ltd.

申诉和投诉处理程序

Appeal and Complaint Process Procedure

文件编号：NOAQC/NSH/S/OD-09

编写主责部门：行政部

版次	修订章节及主要修订内容概述	首次/修订生效日期	审核人/核准人
1/0	首次制定	2012.08.28	/
6/3	换版更新	2024.02.26	张欢欢/杨万霞
6/4	增加ANAB 对申投诉的规则	2024.04.01	张欢欢/杨万霞
6/5	增加审定与核查相关内容	2024.12.26	张欢欢/杨万霞
6/6	内容更新	2025.01.15	张欢欢/杨万霞
6/7	进一步明确申投诉处理的时效，修改 FSC 申投诉内容 Further clarify the time limits for handling complaints and appeals, revise the content on FSC complaints and appeals.	2026.03.02	段利/杨万霞 Lilly Duan/ Cindy Yang
6/8	新增申投诉初步反馈时限要求，调整匿名申投诉接收处理要求等 Add requirements for the initial response time limit of appeals and complaints, revise the requirements for receiving and handling anonymous appeals and complaints, etc.	2026.7.31	段利/杨万霞 Lilly Duan/ Cindy Yang
评审部门		使用部门	
各部门		各部门	

申诉和投诉处理程序

Appeal and Complaint Process Procedure

1 、 申诉 Appeal

1.1 申诉的提出 Lodge of appeal

申请/接受认证/审定与核查的组织应在接到公司的决定或措施后 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相关信息（如邮箱等）。

The organization of applying for/accepting certification and Validation and Verification shall lodge the appeal to our company within 10 days after receiving our company ' s decision or actions. The appeal party shall submit a written application and explain the reasons for disagreeing with the disposal suggestions of our company, and submit relevant evidence as far as possible. Appeals must be submitted in writing, signed and sealed by the appellant ' s authorized person. Relevant information of the appellant (e.g. email address) shall be provided concurrently.

1.2 申诉的调查和处理 Investigation and disposition of appeal

1.2.1 客户服务部应在收到投诉当天内与申诉方联系，确认申诉真实性与相关性，核实确定可受理后，应立即报告总经理和管理者代表。

The Customer Service Department shall contact the appellant on the same day upon receipt of the appeal to confirm the authenticity and relevance of the appeal. Once the appeal is verified and admissible, it shall immediately report to the General Manager and the Management Representative.

1.2.2 申诉处理工作组正式受理后，应书面通知申诉方受理情况，同时启动调查程序。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。在收到申诉后的2周内，应提供初步反馈及拟处理方案，包括收悉确认、问题概况、调查计划以及预计办结日期等核心要素。调查过程中随时与申诉方保持沟通，确保其了解处理进程。

Upon formal acceptance of the appeal by the Appeal Handling Working Group, the appellant shall be notified in writing of the acceptance status, and the investigation process shall be initiated simultaneously. Personnel involved in the appeal handling process shall ensure that they have

neither conducted the audit related to the appeal nor made any certification decision related to the appeal, and shall have no involvement in or connection with the subject matter of the appeal. Within two weeks of receipt of the appeal, initial feedback and a proposed handling plan shall be provided, including key elements such as acknowledgement of receipt, an overview of the issue, the investigation plan, and the expected completion date. Throughout the investigation process, communication with the appellant shall be maintained to ensure that the appellant is kept informed of the progress of the appeal handling.

1.2.3 自收到申诉事件之日起60日内，申诉处理工作组负责对申诉进行调查、取证及核实，处理结果默认以中文书写，如申诉方有要求，协商一致后可采用其他商定语言。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。认证机构应尽可能收集所有必要信息，以作为处理证据支撑。申诉处理过程描述应向任何相关方公开。

Within 60 days from the date of receipt of the appeal, the Appeal Handling Working Group shall conduct investigation, evidence collection and verification of the appeal. The handling outcome shall be prepared in Chinese by default. If requested by the appellant, other agreed languages may be adopted upon mutual consensus. Investigation methods may include convening hearings, hearing statements submitted by both parties, on-site investigation, obtaining written documents, etc. The certification body shall collect all necessary information as far as practicable to serve as supporting evidence for handling. A description of the appeal handling process shall be available to any interested party.

1.2.4 申诉处理工作组在经调查之后应做出有根据的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。

After completing the investigation, the Appeal Handling Working Group shall make substantiated judgments and put forward written handling opinions, submit them to the Management Representative for review, and obtain approval from the General Manager.

1.2.5 客服部应及时反馈书面处理结果，并确保自收到申诉之日起 60 日内，将处理结果以书面形式通知申诉方及公司相关责任部门。所有申诉及处理意见均需完成机构内部登记与留存。针对 FSC 认证项目的所有申诉，无论申诉是否成立，客服部均应在申诉受理后向 FSC 进行登记，并保存登记记录。

The Compliance and Technology Department shall provide the written processing result in a timely manner, and shall ensure that the processing result is notified in writing to the appellant and relevant

responsible departments within 60 days from the date of receipt of the appeal. All appeals and corresponding handling decisions shall be registered and retained internally within NOA. For all appeals related to FSC certification projects, regardless of whether the appeal is substantiated, the Customer Service Department shall register such appeals with FSC upon acceptance and retain the registration records.

1.2.6 申诉方如对最终处理意见不满意时，可以向国家认证认可监督管理部门或认可机构进行投诉。针对 FSC COC 认证项目，若问题未能通过全面实施本公司自身的申诉处理程序得到解决，或申诉人不同意本公司得出的结论和 / 或对处理方式不满意，申诉人有权将其申诉提交至 ASI (Assurance Services International, FSC 指定的认可机构)。ASI 的投诉程序及联系方式可在 ASI 官方网站 (www.asi-assurance.org) 查询。

If the appellant is dissatisfied with the final handling decision, the appellant may file a complaint with the national certification and accreditation regulatory authority or the accreditation body. For the FSC CoC certification programme, if the issue cannot be resolved through full implementation of the Company's internal appeal handling procedure, or if the appellant disagrees with the conclusions reached by the Company and/or is dissatisfied with the handling method, the appellant has the right to submit the appeal to ASI (Assurance Services International, the accreditation body designated by FSC). ASI's complaint procedures and contact information are available on the official ASI website (www.asi-assurance.org).

1.2.7 NOA 在申诉的提出、调查和决定等处理的全过程中必须公平公正，不得对申诉方有任何歧视行为。如申诉方对处理过程方式不满意时，可通过机构官网的联系方式进行投诉，机构最高管理层将指派调查小组处理此类事件。

NOA must be fair and impartial throughout the entire process of filing, investigating, and deciding on appeals, and must not discriminate against the appellant in any way. If the appellant is dissatisfied with the handling of the appeal, they may file a complaint through the contact information on the institution's official website, and the institution's senior management will assign an investigation team to handle such cases.

2 、 投诉 Complaint

2.1 投诉的提出 Lodge of complaint

投诉应以书面的方式就投诉所涉及的事件（在该事件发生以后一个月内）向本公司客服部提出，投诉人须提供所投诉事件的细节情况、证明材料，并提供投诉人信息，如姓名、联系方式等。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。

Complaints shall be proposed in written to the customer service department for involved incidents of this complaint (within a month after the incident), the complainant shall provide the incident details and evidence with signature, and the complainant's information, such as name and contact details. NOA shall retain the anonymity of the complainant in relation to the client, if this is requested by the complainant.

2.2 投诉的调查和处理 The investigation and disposition of complaints

2.2.1 收到投诉后，进一步核实投诉信息。如核实确实为投诉信息，投诉信息传递给客户服务部。对重大投诉立即报告总经理和管理者代表。确认受理后，应书面通知投诉方受理情况，同时启动调查程序。涉及投诉处理过程公开事宜，机构将在与获证客户及投诉人协商一致后，共同确认是否公开及公开的程度。针对 FSC 认证项目的所有投诉，无论投诉是否成立、无论投诉人是否提供充分证据，客服部均应在投诉受理后向 FSC 进行登记，并保存登记记录。匿名投诉也应按 FSC 要求进行登记。

After receiving the complaint, further verify the complaint information. If it is verified that it is indeed a complaint information, the complaint information will be passed to Customer Service Department. Report major complaints immediately to the General Manager and Management Representative. After confirming acceptance, the complainant shall be notified of the acceptance status in writing, and the investigation procedure shall be initiated simultaneously. A description of the complaints handling process should be made available to any interested party. Regarding the disclosure of information related to the complaint handling process, the institution will consult with the certified customer and the complainant to reach a mutual agreement on whether to disclose the information and the extent of disclosure. For all complaints concerning FSC certification projects, regardless of whether the complaint is substantiated and whether the complainant provides sufficient evidence, the Customer Service Department shall register the complaint with FSC upon acceptance and preserve the registration records. Anonymous complaints shall also be registered in accordance with FSC requirements.

2.2.2 如被投诉的是经公司认证的组织，应与该组织取得联系，适用时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。调查时还应考虑客户管

理体系的有效性，如要求客户采取适当的纠正和纠正措施，如证实客户的管理体系的有效性存在问题时，将涉及缩小、暂停或撤消客户的管理体系认证和一般工业产品认证。

If the complaint is against an organization certified by the company, the organization should be contacted and, if applicable, required to provide a written explanation of the complaint and submit relevant evidence. When necessary, the company will conduct on-site investigations. The effectiveness of the customer's management system should also be considered during the investigation. For example, if the customer is required to take appropriate corrective and corrective actions, if it is confirmed that there are problems with the effectiveness of the customer's management system, it will involve reducing, suspending or withdrawing the customer's management system certification and general Industrial product certification.

2.2.3 如投诉的问题属于公司的问题，由公司对投诉情况进行调查核实，必要时，进行现场调查。

If the problem of complaint is the responsibility of our company, the investigation and verification on the complaint shall be carried out by our company, and the on-site investigation shall be conducted if necessary.

2.2.4 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。

The personnel involved in the complaint handling process shall ensure that the audit involved in the complaint has not been implemented and the certification decision involved in the complaint has not been made. The participants shall have nothing to do with the complaint.

2.2.5 在收到投诉后的2周内，向投诉方提供初步反馈及拟处理方案，包括收悉确认、问题概况、调查计划以及预计办结日期等核心要素。认证机构应尽可能收集所有必要信息，以作为处理证据支撑。调查过程中随时与投诉方保持沟通，确保其了解处理进程。

Within two weeks of receiving a complaint, the Customer Service Department shall provide the complainant with initial feedback and a proposed handling plan, including key elements such as acknowledgement of receipt, an overview of the issue, the investigation plan, and the expected completion date. The certification body shall collect all necessary information as far as possible to serve as supporting evidence for handling. Communicate with the complainant at any time during the investigation to ensure that it understands the process.

2.2.6 申诉调查小组应在收到投诉事件之日起60日内对投诉事件进行调查、取证及核实，并形成投诉调查报告，提交管理者代表审核，并经总经理批准。处理结果默认以中文书写，如投诉方有要求，协商一致后可采用其他商定语言。

The Complaint and Appeal Investigation Team shall complete the investigation, evidence collection and verification of the complaint case within 60 calendar days upon receipt of the complaint incident, prepare a complaint investigation report, submit it to the Management Representative for review and obtain approval from the General Manager. The handling outcome shall be prepared in Chinese by default. If requested by the complainant, other agreed languages may be adopted upon mutual consensus.

2.2.7 客服部在收到投诉60天内将最终处理意见以书面形式通知投诉方和公司责任部门。所有申诉及处理意见均需完成机构内部登记与留存。

Within 60 days upon receipt of the complaint, the Customer Service Department shall notify the complainant and the company's responsible department of the final handling opinion in written form. All appeals and corresponding handling decisions shall be registered and retained internally within NOA.

2.2.8 投诉方对最终处理意见表示满意时，公司客服部负责监督执行。如被投诉的是公司认证的組織，对于需要采取纠正预防措施的，公司应要求该组织采取纠正预防措施并报公司客服部。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可性进行确认。必要时，公司将对认证组织的纠正预防措施的有效性进行现场验证。

When the complainant satisfies the final handling suggestions, the customer service department of our company shall be responsible for surveillance and implementation. If the complaint aims to the organization which has been certified by our company, it shall require this organization to take corrective and preventive actions for relevant contents and report it to the customer service department. The customer service department (if necessary, with Technical Committee together) shall confirm the feasibility of submitted corrective and preventive actions. If necessary, our company will make the on-site verification the effectiveness of corrective and preventive actions.

2.2.9 当投诉方不满意所得到的答复时，可以向公司提出复审，或向认可机构或国家认证认可监督管理机关进行投诉。对于 FSC COC 认证项目，若问题未能通过全面实施本公司自身的投诉处理程序得到解决，或投诉人不同意本公司得出的结论和 / 或对本公司处理投诉的方式不满意，投诉人有权将其投诉提交至 ASI (Assurance Services International, FSC 指定的认可机

构)。ASI 的投诉程序及联系方式可在 ASI 官方网站 (www.asi-assurance.org) 查询。

Where the complainant is not satisfied with the response received, the complainant may request a review by the Company or submit the complaint to the accreditation body or the national accreditation and certification regulatory authority. For FSC CoC certification activities, where the issue cannot be resolved through the full implementation of the Company's own complaint handling procedure, or where the complainant disagrees with the conclusion reached by the Company and/or is dissatisfied with the manner in which the Company has handled the complaint, the complainant has the right to submit the complaint to ASI (Assurance Services International), the accreditation body designated by FSC. Information on ASI's complaint procedure and contact details is available on the ASI official website: www.asi-assurance.org.

2.2.10 本公司应将匿名投诉以及无法证实、不足以构成正式投诉的不满意意见视为利益相关方意见, 认证机构应在可能的情况下进行调查; 无法立即调查的, 纳入下次审核计划核实。

The certification body shall treat anonymous complaints, as well as grievances that cannot be verified or are insufficient to constitute formal complaints, as stakeholder feedback. The certification body shall conduct investigations where possible; where immediate investigation is not feasible, such matters shall be included in the next audit plan for verification.

2.2.11 NOA 在投诉的提出、调查和决定等处理的全过程中必须公平公正, 不得对投诉方有任何歧视行为。如投诉方对处理过程方式不满意时, 可通过机构官网的联系方式进行投诉, 机构最高管理层将指派调查小组处理此类事件。

NOA must be fair and impartial throughout the entire process of handling complaints, including their submission, investigation, and resolution, and must not discriminate against the complainant in any way. If the complainant is dissatisfied with the handling of the complaint, they may submit a complaint through the contact information provided on the institution's official website. The institution's senior management will then assign an investigation team to handle such matters.

3 、 记录与保密 **Records and confidentiality**

3.1 应保存所有申投诉以及与认证有关的补救措施的记录;

Our company shall remain all records about the appeals and complaints as well as the remedy action of certification.

3.2 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 workers who handle the appeals and complaints shall be responsible for confidentiality to the non--public information.

4、 费用支付 Payment

4.1 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；

It was confirmed by investigation that the fees caused by appeal, compliant and dispute shall be paid by litigant or its agent when the reasons of the appeals and complaints are insufficient.

4.2 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；

When it was confirmed through investigation that the reason of the appeals and complaints come into existence and the responsibility shall be assumed by respondent, the fees caused by appeals and complaints shall be paid by respondent.

4.3 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 was confirmed through investigation that the litigant and respondent shall be responsible for the appeals and complaints at the same time, the relevant fees shall be paid by negotiation between both sides.

5 、 FSC 申诉和投诉 Appeal and complaint for FSC

FSC 的相关申投诉需满足 FSC-STD-20-001 认证机构通用要求 General requirements for FSC accredited certification bodies FSC-STD-20-001 的要求，执行 NOAQC NSH S UD-12 《认证活动反馈信息处理程序》管理规定。

All FSC-related complaints and appeals shall comply with **FSC-STD-20-001 General requirements for FSC accredited certification bodies**, and be implemented in accordance with the provisions of NOAQC/NSH/S/UD-12 *Procedure for Handling Feedback Information on Certification Activities*.

6 、 HSPM 申诉和投诉 Appeal and complaint for HSPM

6.1 申诉 Appeals

6.1.1 如果申请方对被拒绝颁发 IECQ HSPM 证书,或被暂停/撤销 IECQ HSPM 证书且申请方不同意这一决定,申请方可根据 NOA 公开文件 NOAQC NSH S OD-09 《申诉和投诉处理程序》提出申诉。

If an applicant is refused the issuing of an IECQ HSPM Certificate or be the subject of suspension or cancellation of an IECQ HSPM Certificate and disagree with this decision, the applicant may lodge an appeal in accordance with the public document NOAQC NSH S OD-09 Appeal and Complaint Process Procedure .

6.1.2 如果申请方对 NOA 提供的申诉决定仍不满意,可以在收到申投决定后一个月内以书面形式向 IECQ 上诉委员会提出申诉。

If the applicant is still not satisfied with the appeal decision provided by the NOA, they may lodge an appeal in writing to the IECQ Board of Appeals within one month of receipt of the decision.

6.2 投诉 Complaints

6.2.1 如果申请方对 IECQ HSPM 评审过程中的行为不满意,可根据 NOAQC NSH S OD-09 《申诉和投诉处理程序》提出投诉。

If an applicant is not satisfied with the actions of the NOA, the applicant may lodge a complaint in accordance with NOAQC NSH S OD-09 Appeal and Complaint Process Procedure.

6.2.2 如果申请方对 NOA 提供的投诉决定仍不满意,可以在收到投诉决定后一个月内以书面形式向 IECQ MC 提出上诉

If the applicant is still not satisfied with the complaint decision provided by the NOA, they may lodge an complaint in writing to the IECQ MC within one month of receipt of the decision.

6.2.3 如 IECQ MC 及 IECQ CABC 无法解决此项行动,申请方有权要求 IEC CAB 采取行动。 If the IECQ CABC and or IECQ MC cannot resolve the actions, the applicant have the right to request the IEC Conformity Assessment Board (CAB) to take appropriate action.

6.3 NOA 应告知申请方这一申投诉渠道。

The NOA should inform any an applicant of the channel for Appeals and Complains.