



投诉和申诉管理办法

森林和木制品认证

必维认证政策-TQRI&F 部门

版本 3



Move Forward with Confidence



1. 介绍 INTRODUCTION

此项必维认证政策旨在建立一个标准的机构化的程序，用以管理必维收到的各类投诉和申诉。同时将这一标准化的程序传达到公司所有的业务中，以期所有的投诉和申诉都以一种专业和负责任的方式解决。

The purpose of this Bureau Veritas Certification policy is to establish a standard and structured process for the management of Complaints and Appeals received by Bureau Veritas Certification. The purpose of this policy is to communicate the standard process to all operations to ensure that all appeals and complaints are handled in a professional and responsible manner.

必维认证使用的定义如下

The definitions used by Bureau Veritas Certification are the following:

申诉 **Appeal:**

申诉指对于 BV 所做认证决定的上诉或对于 BV 所认证组织投诉的有效性时所做决定的上诉。

An Appeal is defined as an “Appeal against a Certification Decision made by Bureau Veritas Certification or Decision made by Bureau Veritas Certification on the validity of a complaint against either Bureau Veritas Certification or a Bureau Veritas Certification Certified Organisation”.

投诉 **Complaints:**

投诉指对于 BV 或 BV 所认证组织的书面抱怨。

A complaint is defined as “an expression of dissatisfaction by a person or organization (“party”) against either Bureau Veritas Certification or a Bureau Veritas Certification Certified Organisation”.

2. 通则 GENERAL PRINCIPLES

投诉和申诉可由当事人在 BV 全球官网或者 BV 当地办公室网站上进行网上登记。投诉表和投诉及申诉处理程序文件是对外公开的，所使用的语言与 BV 在线的公开认证总结时一致的。

Complaints and appeals are registered directly on-line by the “party” on either the global Bureau Veritas Certification website and (or) directly on the Bureau Veritas Certification local office’s website; This complaint form and the complaint/appeal process is publicly available in the same languages as the public certification summaries published by Bureau Veritas Certification on-line.

投诉和申诉表也可以经当事人申请，以书面材料方式提供。

This complaint/appeal form is also available in print on party’s request.

收到的投诉和申诉必须做好记录，具体细节交由相关 BV 部门进行处理。

Complaints and appeals received must be recorded and the details transmitted to the relevant Bureau Veritas Certification entity for processing.

若收到的投诉或申诉来自于非 BV 客户，考虑到任何潜在的责任，无论是否适合回答所提的问题，相关部门都要给予应有的重视。

In case of complaint or appeal received from a “party” which is not a Bureau Veritas Certification client, due consideration must be given whether or not it is appropriate to answer, taking into account potential liability. In such cases, the content of the answer must be coordinated with the client.

当地技术经理（LTM）是处理投诉或申诉默认渠道。具体实施过程中，终端负责人如下：

- 对于投诉，由 LTM 负责；
- 对于申诉，由 FSC HUB 经理（与此申诉所涉及国相关的）。

The Local Technical Manager (LTM) is the default channel for dealing with the complaints and appeals. End-responsible to carry out this process:

- For complaints, LTM
- For appeals, FSC HUB manager (related with the country of the appeal).

为了提高处理的效率，必须监管相关绩效指标（KPI）。

The relevant KPI must be monitored as a measure of effectiveness of the process (KPI).

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对客户投诉或申诉处理过程的整体审查必须作为年度管理系统审查的一部分。

An overall review of customer's complaints or appeal process must be part of the annual Management System Review.

HUB 经理，TQR CER 技术经理和全球授信协调员必须知晓所有 FSC 的投诉。依据严重性，情节比较严重的必须通知 BV 全球技术总监。当投诉有非常严重的风险（如涉及可能的诉讼，保险申报，法院传召，名誉及授信资质的损失），这类投诉必须通报给总部的司法部门。

The HUB Manager, the TQR CER Technical Manager and the Global accreditation Coordinator shall be informed of all FSC complaints. The Global Technical Director of Bureau Veritas Certification Holding SAS shall be notified depending upon severity. In case of a critical risk (such as complaints involving a possible litigation, insurance declaration, court summons, loss of image, accreditation...) the complaints must be transferred to the HO Divisional legal contact.

如果投诉人提出要求，必维保留投诉人对客户的匿名性，并将匿名投诉和表达不满的投诉视为利益相关方的意见，并在下次审核时予以解决。

Bureau Veritas retains the anonymity of the complainant in relation to the client, if this is requested by the complainant and shall treat anonymous complaints and expressions of dissatisfaction that are not substantiated as complaints as stakeholder comments and address these during the next audit.

3. 总体解决步骤 OVERALL PROCESS STEPS

对于每一个投诉和申诉，以下的要点必须遵循：

For each complaint and appeal, the following points must be followed:

1) 接收到投诉和申诉的 BV 部门的 LTM 必须做好记录。投诉和申诉通常情况下以手写的方式记录，如果不是，BV 办公室接收到正式的口头投诉后，必须在 BVC 系统有记录。

1) **The complaint and appeal must be recorded by the LTM of the receiving Bureau Veritas Certification Entity.** Complaints/appeals will normally be made in writing, but if not, Bureau Veritas Certification office receiving the official oral complaint shall initiate a record in BVC system.

2) LTM 需要将投诉或控诉的细节及发现告知相关内部部门，在必要的情况下，技术经理必须与 BV 总公司或者内部相关授信部门协商，来充分的回应投诉或控诉。

2) LTM communicates the details of the complaint or appeal and findings to relevant internal parties where required Technical Manager shall liaise with Bureau Veritas Certification (Holding) or the relevant accredited Bureau Veritas Certification entity in order to reply adequately to the appeal or complaint.

3) LTM 必须做到以下几点：

- 记录所有相关文件，确保这些文件具有可追溯性；

- 在问题得到解决后检查做出的决定的可行性，同时关闭此项案件。

3) LTM shall:

- record documents, ensure traceability of documents,

- check the feasibility of the decisions and closes the case when solved

4) 如果 BV 在投诉处理程序的最后都还未解决，此项投诉必须参考 FSC 的争议解决程序。

投诉或控诉的提交，调查以及最终做出决定都必须保证不能有对当事人有任何歧视对待，而且全程必须保密。

4) Complaint shall be offered the opportunity to refer it to FSC's dispute resolution process if the issue has not been resolved at the end of the complaint procedure with Bureau Veritas Certification.

The submission, investigation and decision on appeals/complaints shall avoid any discriminatory actions against the party. This process must be managed as confidential.

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如果问题没有通过必维认证自身的程序全面实施解决，或者投诉人不同意必维认证达成的结论和/或不满意必维认证处理投诉的方法，投诉人有机会将其投诉转交给 ASI。作为最终步骤，投诉可能会提交给 FSC。

The complainant has the opportunity to refer their complaint to ASI, if the issue has not been resolved through the full implementation of Bureau Veritas Certification's own procedures, or if the complainant disagrees with the conclusions reached by the Bureau Veritas Certification and/ or is dissatisfied by the way Bureau Veritas Certification handled the complaint. As the ultimate step, the complaint may be referred to FSC.

4. 投诉处理流程 APPEALS PROCESS

在收到控诉后，LTM 首先要判定他/她本人是否涉事其中。必须保证调查控诉的人，不能参与审核过程及最终做出相关决策。

Upon receipt of the appeal LTM shall determine if she or he was involved in the appealed decision – all appeals must be investigated by personnel different from those who carried out the audits and made the relevant certification decision.

如果 LTM 参与其中，必须委任一个合适的有资质的内部独立的委员会负责执行，如果没有合适的人选，LTM 本人可以参与调查。此调查委员会由 2 人组成，这 2 人不能是 2 个 HUBs 内部做出裁决的人和全球授信协调员。

If she or he was involved, then a suitable qualified internal independent panel shall be appointed, and if not she or he can carry out the investigation. The panel is composed of: 2 person independent from the appealed decision from 2 HUBS and the Global accreditation coordinator.

任何收到的控诉都必须及时通报给全球授信协调员，以协助告知上诉人控诉已经收到，而且会马上通过审查控诉及相关文件（合同评审，审核报告，认证决定详情）展开调查，之后会准备一份详尽的报告。

Any appeal received must be communicated in a timely manner to the Global accreditation Coordinator to support the answer to the appellant that the appeal has been received and will be processed and to investigate the grounds of the appeal, by reviewing the appeal and associated files (contract review, audit reports, certification decision details) followed by preparing a report detailing the appeal.

根据以上原则，在收到控诉两周之内，必须告知上诉人请求已收到，同时需要告知为解决此控诉一个整体的解决方式概览。

The receipt of the appeal must be acknowledged, according to the above principles, including an outline of the proposed course of action to follow up on the appeal, within 2 weeks of receiving it.

全球授信协调员必须在 FSC Hub 经理及 LTM 的协助下，在收到控诉 3 个月内，监视处理结果，审查和详细说明应对申诉人的拟采取的措施。

Global accreditation coordinator shall monitor the results, have investigated and specified all its proposed actions in response to appellant(s) within 3 months of receiving the appeal with the support of FSC Hub manager / LTM.

5. 投诉处理流程 COMPLAINTS PROCESS

在收到投诉后，LTM 首先要判定他/她本人是否涉事其中。必须保证调查投诉的人，不能参与审核过程及最终做出相关决策。如果 LTM 参与其中，必须委任一个合适的有资质的内部独立的委员会负责执行，如果没有合适的人选，LTM 本人可以参与调查。

Upon receipt of the complaint LTM shall determine if she/he was involved in the process in question – all complaints must be investigated by personnel different from those who carried out the audits and made the relevant certification decision. If s/he was involved, then a suitable qualified internal independent person(s) shall be appointed, and if not s/he can carry out the investigation.

根据以上原则，在收到控诉两周之内，必须告知上诉人请求已收到，同时需要告知为解决此控诉一个整体的解决方式概览。

The receipt of the complaint must be acknowledged, according to the above principles, including an outline of the proposed course of action to follow up on the complaint, within 2 weeks of receiving it.

LTM 在 FSC HUB 经理的的协助下必须在收到投诉 3 个月内，监视处理结果，告知投诉这处理的进展，审查投诉和详细说明应对投诉人的拟采取的措施。

LTM shall monitor the results and keep the complainant(s) informed of progress in evaluating the complaint, and have investigated the allegations and specified all its proposed actions in response to the complaint within 3 months of receiving the complaint with the support of FSC HUB Manager.