

Complaint & Appeal Resolution Procedure

投诉和申诉处理程序

1. OBJECTIVE 目的

The purpose of this procedure is:

本程序的目的在于：

- a) To establish a standard and structured process for the handling of Complaints and Appeals received by Extensive Standard Technical Services Co., Ltd. (hereafter called ESTS)
建立一个标准和结构化的程序，用以管理泛标技术服务有限公司（以下简称 ESTS）收到的投诉和申诉。
- b) To communicate the standard process to all operations to ensure that all complaints and appeals are handled in a professional and responsible manner.
将这一程序传达给公司各部门，确保所有的投诉和申诉都以一种专业并且负责任的方式得到解决。

ESTS definitions 定义

Complaints: An expression of dissatisfaction by any person or organization presented to ESTS relating to the certification activities of ESTS and/or the certification activities of the clients certified by ESTS.

投诉：指任何人或者任何组织对 ESTS 涉及的认证活动或者经由 ESTS 认证的客户认证存在不满。

In the context of FSC program, an FSC Complaint shall include:

在 FSC 认证项目中，FSC 投诉应包括以下信息：

- a) Name and contact information of the complainant, and
投诉人的姓名和联系方式
- b) A clear description of the issue, and
对投诉的清晰具体描述
- c) Evidences to support each element or aspect of the complaint.
支撑投诉的各要素或者各方面的证据。

Appeal: A request by the client to the ESTS for reconsideration of a Certification Decision or Decision made by ESTS relating to that client.

申诉：指客户对 ESTS 所作认证决定的上诉，客户要求 ESTS 重新审查认证结果或者与该客户有关的认证决定。

In the context of FSC program, an FSC Appeal shall include:

在 FSC 认证项目中，FSC 申诉应包括以下信息：

- a) Name and contact information of the submitter, and
申诉提交人的姓名和联系方式
- b) A clear description of the issue, and
对申诉的清晰具体描述
- c) Evidences to support each element or aspect of the appeal
支撑申诉的各要素或者各方面的证据。

2. GENERAL PRINCIPLES 通则

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

投诉和申诉的提交，调查和决策应避免对当事方存在歧视性的行为并且确保将此流程作为机密进行处理。

The aggrieved party could send Complaints and Appeals to ESTS Managing Director by email, the email address is available on the ESTS website: <https://www.estsglobal.com/en/policies.html>.

投诉或者申诉的当事方可通过电子邮件向 ESTS 董事总经理发送投诉和申诉。电子邮件地址可在 ESTS 官网上找到: <https://www.estsglobal.com/en/policies.html>.

If a complaint is raised against the clients certified by ESTS,

如果是对 ESTS 的客户认证提出投诉:

- a) ESTS shall retain the anonymity of the complainant in relation to their client, if this is requested by the complainant.

如果投诉人提出要求，ESTS 应保留投诉人对其客户的匿名性。

- b) ESTS shall treat it as stakeholder comments and address it during the next ESTS audit, if the complaint is anonymous complaint or an expression of dissatisfaction that are not substantiated as complaint.

ESTS 应将其视为利益相关方的意见并且在下次 ESTS 审核时进行处理。如果投诉是匿名的或者只是表达不满将不会被作为投诉处理。

Complaints and appeals received must be recorded and the details are transmitted to the relevant ESTS services for processing. The relevant ESTS services is responsible for gathering and verifying all necessary information (as far as possible) to progress the complaint or appeal to a decision. The decision resolving the complaint or appeal shall be reviewed and approved by the person not involved in the evaluation related to the complaint or appeal.

收到的投诉和申诉必须做好记录并且将相关细节交由 ESTS 相关部门处理。相关部门负责收集并且（尽快）验证所有必要的信息以推进对投诉或者申诉做出决策。解决投诉或者申诉的决定应由未参与投诉或申诉人员进行审核和批准。

An overall review of complaints or appeals process must be part of the annual Management Review.

对客户投诉和申诉处理过程的整体审查必须作为年度管理评审的一部分。

In the context of FSC program, the present Complaint and Appeal resolution procedure is available in the local language of the countries where ESTS operates FSC COC Certification. ESTS shall respond to Complaint and Appeal in the same language, or shall agree with the submitter on the language used.

在 FSC 认证项目中，目前的投诉和申诉解决程序由 ESTS 执行的 FSC COC 认证所在国家以当地语言提供。

In the context of FSC program, complainant has the opportunity to refer their complaint to ASI (FSC Accreditation Body), if the issue has not been resolved through the full implementation of the present procedure, or if the complainant disagrees with the conclusions reached by ESTS and/ or is dissatisfied by the way the ESTS handled the complaint. As the ultimate step, the complaint may be referred to FSC.

在 FSC 认证项目中，如果在充分实施目前的程序后问题任未解决，或者当事人不同意 ESTS 达成的结论，或者对 ESTS 处理投诉的方式不满意，当事方有机会将他们的投诉转交给 ASI（FSC 认可机构）。如仍需终裁，投诉可能被提交给 FSC。

3. OVERALL PROCESS STEPS 总体步骤

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

对于每个投诉和申诉，应按以下步骤进行:

- 1) Upon receipt a Complaints or Appeals, ESTS Managing Director shall confirm whether the complaint or appeal relates to ESTS certification activities for which ESTS is responsible and, if so, ESTS Managing Director shall determine which relevant ESTS services is responsible to address it.

接到投诉或者申诉时，ESTS 董事总经理应确认投诉或者申诉是否与 ESTS 负责的认证活动有关。如果是，ESTS 董事总经理应确定哪些部门将负责解决。

Then a suitable qualified internal independent person shall be appointed, by default, Program Technical Manager is appointed. If Program Technical Manager is involved in the evaluation process (audit or decision making) related to the complaint or appeal, a new qualified internal independent person is appointed by Managing Director.

然后，应委任一个合适的有资质的内部独立人员负责执行，默认该人员为项目技术经理。若项目技术经理参与了投诉或者申诉的评估过程（审核或者决策），则由董事总经理重新任命新的有资质的内部独立人员。

- 2) If the Complaints or Appeals are acceptable, ESTS Managing Director shall acknowledge receipt of a complaint or appeal by email. The complaint and appeal must be recorded by Program Technical Manager or qualified internal independent person, if different.

如果投诉或者申诉是可被可接受的，ESTS 董事总经理应通过邮件的形式告知上诉人请求已收到。投诉和申诉必须由项目技术经理或者有资质的内部独立人员记录。

- 3) Program Technical Manager (or qualified internal independent person, if different) provide an initial response, including an outline of the ESTS proposed course of action to follow up on the complaint or appeal, within two (2) weeks of receiving a complaint or appeal.

项目技术经理（或者有资质的内部独立人员）在收到投诉或者申诉两周内应提供初步回复，包括告知为解决投诉或者申诉一个整体的解决方式概览。

- 4) Program Technical Manager (or qualified internal independent person, if different) shall monitor the results and keep the complainant(s) / appellant(s) informed of progress in evaluating the complaint or appeal, 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 relevant ESTS services manager.

项目技术经理（或者有资质的内部独立人员）必须在收到投诉或者申诉三个月内，监视处理结果，告知上诉人评估投诉或者申诉的进展情况，是否已就有关投诉进行调查，并就其回应投诉的所有拟议行动作出具体说明。

- 5) Program Technical Manager (or qualified internal independent person, if different) shall review and approve the decision resolving the complaint or appeal, and notify the complainant or appeal when the complaint is considered to be closed, meaning that the certification body has gathered and verified all necessary information, investigated the allegations, taken a decision on the complaint and responded to the complainant / appellant.

项目技术经理（或者有资质的内部独立人员）应审查和批准解决投诉和申诉的决定，并在投诉被视为关闭时告知当事人。这意味着认证机构已经收集并验证了所有的必要信息，调查了所有指控，对投诉或者申诉做出了决策并且回复了当事人。