

## Complaint & Appeal Resolution Procedure Summary (Public Version)

### 投诉和申诉处理程序概要（公开版）

#### 1. OBJECTIVE 目的

The purpose of this procedure is to communicate the standard process to all stakeholders to ensure that all complaints and appeals are handled in a professional and responsible manner.

本程序的目的在于所有相关方传达标准流程，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

**Complaint:** An expression of dissatisfaction by any person or organization presented to ESTS relating to the certification, auditing or verification 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、审核和核查活动或者经由 ESTS 认证的客户认证存在不满。

Note: The **Complaint** could be also the **Grievance** expressed by any interested party related to the certification, auditing or verification activities delivered by ESTS.

注：投诉也可以是来自于 ESTS 执行的认证、审核和核查活动有关的任何有利益相关方表示的不满。

In the context of ESTS certification, auditing or verification program, a Complaint shall include:

在 ESTS 认证、审核和核查项目中，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, auditing or verification 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、审核和核查结果或者与该客户有关的认证决定。

In the context of ESTS certification, auditing or verification program, an Appeal shall include:

在 ESTS 认证、审核和核查项目中，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 Integrity Committee (hereafter called ESTS IC) by email, the email address ([integrity@estsglobal.com](mailto:integrity@estsglobal.com)) is available on the ESTS website: <https://www.estsglobal.com/en/company/policies>.

投诉或者申诉的当事方可通过电子邮件向 ESTS 廉政委员会(简称: ESTS IC)发送投诉和申诉。电子邮件地址 ([integrity@estsglobal.com](mailto:integrity@estsglobal.com)) 可在 ESTS 官网上找到: <https://www.estsglobal.com/en/company/policies>.

If a complaint is raised against the clients certified, audited or verified by ESTS, ESTS shall retain the anonymity of the complainant in relation to their client, if this is requested by the complainant.

如果是对 ESTS 的客户认证、审核和核查提出投诉，如果投诉人提出要求，ESTS 应保留投诉人对其客户的匿名性。

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。

ESTS shall respond to Complaint and Appeal in the same language, or shall agree with the submitter on the language used.

ESTS 应以相同的语言回应投诉和申诉，或就所使用的语言与提交人达成一致。

Complainant has the opportunity to refer their complaint to the Accreditation Body (AB), including ASI (AB for FSC; MSC; ASC; RSPO schemes, etc.), JAS-ANZ (AB for BRCGS), SAAS (AB for SA8000 program), among others, 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 the Program/Scheme Owner, including FSC, MSC/ASC, RSPO, BRCGS, SAI, among others.

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，应确保当事方有机会将他们的投诉转交给认可机构，如 ASI（FSC；MSC；ASC；RSPO 等项目认可机构），JAS-ANZ（BRCGS 项目认可机构），SAAS（SA8000 项目的认可机构）等。如仍需终裁，投诉可被提交给项目拥有机构，比如 FSC, MSC/ASC, RSPO, BRCGS 和 SAI 等。

### 3. OVERALL PROCESS STEPS 总体步骤

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

对于每个投诉或申诉，应按以下步骤进行：

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

接到投诉或者申诉时，ESTS IC 应确认投诉或者申诉是否与 ESTS 负责的认证、审核和核查活动有关。如果是，ESTS IC 应确定哪些部门将负责解决。

Then a suitable qualified internal independent person shall be appointed, by default, the Program Manager is appointed. If the Program 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 ESTS IC.

然后，应委任一个合适的有资质的内部独立人员负责执行，默认该人员为项目经理。若项目经理参与了投诉或者申诉的评估过程（审核或者决策），则由 ESTS IC 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 IC shall acknowledge receipt of a complaint or appeal by email. The complaint and appeal must be recorded by the Program Manager or a qualified internal independent person, if different.

如果投诉或者申诉是可被可接受的，ESTS IC 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经理或者有资质的内部独立人员记录。

3) The Program Manager (or qualified internal independent person, if different) shall 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) The Program 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.

在相关部门经理的配合下，项目经理（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) The Program Manager (or qualified internal independent person, if different) and ESTS IC shall review and approve the decision resolving the complaint or appeal, and notify the complainant/appellant once the complaint or appeal is considered to be closed, meaning that the ESTS has gathered and verified all necessary information, investigated the allegations, taken a decision on the complaint and responded to the complainant/appellant.

项目经理（或者有资质的内部独立人员）及 ESTS IC 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 ESTS 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。