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1. Purpose and Scope 目的和范围

- 1.1 This procedure outlines the processes to be followed in order to address complaints and appeals in line with ISO 17065, § 4.6, 7.13, and other applicable accreditation requirements. For FSC-related issues, FSC-STD-20-001 V4-0, § 1.9 applies.

本程序概述了依据 ISO 17065 的 4.6、7.13 条款、6 条款和其他适用的认证要求处理投诉和申诉所应遵循的过程。对于与 FSC 有关的问题，FSC-STD-20-001 V4-0 的 1.9 条款亦适用。

- 1.2 Complaints are under the scope of this procedure if they are related to Ecocert Swiss AG’s inspection or certification activities, or the activities of an operator certified by Ecocert Swiss AG (Ecocert CH).

本程序适用于与 Ecocert Swiss AG 的检查或认证活动有关或经 Ecocert Swiss AG (Ecocert CH) 认证的运营商的活动有关的投诉。

- 1.3 Appeals are under the scope of this procedure if they are filed by a client against a certification decision that he received from Ecocert CH.

本程序适用于客户针对 Ecocert CH 做出的认证决定提出的申诉。

- 1.4 This procedure is available to any interested party upon request. 根据要求，任何感兴趣的一方都可以使用此程序。

As to FSC-related complaints and appeals, this procedure is accessible on the websites of both Ecocert CH and any local sites providing services on behalf of Ecocert CH in the local language of the country of operation. For forest management this information is publicly available in the same language as the public summary certification report published by Ecocert CH.

对于与 FSC 有关的投诉和申诉，可以在 Ecocert CH 的网站以及代表 Ecocert CH 以提供服务的国家/地区站点上以本地语言访问此程序。对于与森林管理有关的投诉和申诉，此信息以与 Ecocert CH 发布的公开摘要认证报告相同的语言公开提供。

2. Terms and Definitions 术语和定义

2.1 Complaint 投诉:

- 2.1.1 Expression of dissatisfaction by a client or third party relating to Ecocert CH’s performance, i.e. its procedures, processes, or personnel.

客户或第三方对 Ecocert CH 的绩效（即其程序、过程或人员）表示不满意。

2.1.2 Allegation, made by a third party, against an operator certified by Ecocert CH, claiming that this operator is violating the certification standard or that the certified product is not compliant with the certification standard.

第三方针对 Ecocert CH 认证的操作者的指控，声称该操作者违反了认证标准或认证的产品不符合认证标准。

2.2 Appeal 申诉: Request by a client to reconsider the certification decision issued by Ecocert CH to his operation(s). 客户要求重新考虑对其的认证决定。

3. Corresponding documents 相关文件

- E.CH I 2.1.x Standard Control Procedures 标准控制程序
- E.CH I 4.2.x Client Contracts 客户合同
- E.CH I 2.4.10.1 Complaint Form 投诉表格
- E.CH I 2.4.10.2 Appeal Form 申诉表格
- List of Complaints and Appeals per year 年度投诉和申诉清单

4. Description of procedure 工作程序

4.1 Complaint handling process 投诉处理程序

4.1.1 Formal complaints need to be submitted to Ecocert CH in writing. Complaints received by phone will be registered but need to be confirmed by the complainant in writing. The complainant may send the complaint to office.switzerland@ecocert.com.

正式投诉需要以书面形式提交至 Ecocert CH。通过电话收到的投诉将被记录下来，但需要得到投诉人的书面确认。投诉人可以将投诉发送至 office.switzerland@ecocert.com

4.1.2 Complaints need to include a clear description of the case, objective evidence to support each element or aspect of the complaint, and the name and contact information of the complainant.

投诉应包括对事实的清晰描述，支持每个投诉要素或方面的客观证据以及投诉人的姓名和联系方式。

4.1.3 Complaints are forwarded to the person in charge, which is the Head of Department concerned or the General Manager, depending on the nature and severity of the complaint.

根据投诉的性质和严重程度将投诉转发给相关部门的负责人或总经理。

4.1.4 All complaints are preliminarily reviewed by the person in charge.

所有投诉均由相关负责人进行初步审查。

4.1.4.1 If the complaint is evidently unfounded or outside of the scope for complaints handling, the person in charge will reject the complaint in writing.

如果投诉明显地没有依据或不在投诉处理范围之内，则负责人将以书面形式拒绝投诉。

4.1.4.2 If the complaint is within the scope for complaints handling, the person in charge initiates the complaint handling process as detailed hereafter.

如果投诉在处理范围之内，则负责人将启动投诉处理过程，如下所述。

4.1.5 In case the complainant is a third party asking for anonymity in relation to the Ecocert CH client, against which he is filing the complaint, Ecocert CH will retain the anonymity. This means,

Ecocert CH will not disclose the name and address of the complainant to the Ecocert CH client concerned.

如果投诉人是第三方，其要求提交的与 Ecocert CH 客户有关的投诉匿名，则 Ecocert CH 将保留匿名性。这意味着，Ecocert CH 不会将投诉人的姓名和地址透露给有关的 Ecocert CH 客户。

4.1.6 Ecocert CH will not respond to anonymous complaints.

Ecocert CH 不对匿名投诉进行回应。

As to FSC-related issues, Ecocert CH will treat anonymous complaints and expressions of dissatisfaction, which are not substantiated as complaints, as stakeholder comments and address these during the next audit.

对于与 FSC 有关的问题，Ecocert CH 会将匿名投诉和不满表达（未作为投诉予以证实）处理为抱怨或利益相关方的评论，并在下一次审核中予以解决。

4.1.7 Ecocert CH is bound to confidentiality towards its clients and will not communicate the findings or the outcome of the complaint investigation to any third party:

Ecocert CH 对客户负有保密义务，不会将任何调查结果或投诉调查结果传达给任何第三方：

4.1.7.1 except for competent authorities or standard holders, if applicable.

主管当局或标准持有人除外（如适用）或

4.1.7.2 except when otherwise agreed between Ecocert CH and the client.

除非 Ecocert CH 与客户另有约定。

4.1.8 Each complaint case will be registered in the Complaint Form (E.CH I 2.4.10.1) and forwarded to the Quality Manager for central registration in the list of complaints.

每个投诉案例都将在投诉表（E.CH I 2.4.10.1）中进行登记，并转发给质量经理以在投诉清单中进行集中登记。

4.1.9 Ecocert CH will register all complaints with the relevant standard holder as outlined in the respective accreditation requirements.

Ecocert CH 将按照各自的认证要求向相关标准持有人登记所有投诉。

4.1.10 As to FSC-related complaints, Ecocert CH will respond to complaints in the same language that is used in the public summary certification report, or will agree with the complainant on the language used.

对于与 FSC 有关的投诉，Ecocert CH 将以公开的摘要认证报告中使用的相同语言来答复投诉，或者将就所使用的语言与投诉人达成一致。

4.1.11 As soon as possible, at the latest within 2 weeks (10 working days) the person in charge writes to the complainant to confirm receipt of the complaint and to provide an overview of the proposed course of action to follow up on the complaint.

负责人应最迟在 2 个星期（10 个工作日）内书面回复投诉人，以确认收到投诉并概述拟采取的后续行动措施。[STD-20-001 V4-0, 1.9.9a, b]

4.1.12 The complaint is duly investigated in consideration of the facts provided, data in the project file as well as additional information obtained of the staff members concerned and/or third party experts, if relevant. Further information is requested from the complainant if necessary.

投诉将根据提供的事实，项目档案中的数据以及相关工作人员和/或第三方专家（如相关）获得的其他信息进行适当调查。如有必要，请投诉人提供更多信息。

- 4.1.13 The person in charge keeps the complainant(s) informed of the progress in evaluating the complaint.

负责人应告知投诉人投诉的进展。

- 4.1.14 Based on the result of the investigation, the person in charge specifies all proposed actions in conclusion to the complaint within three (3) months of receiving the complaint. The measures to be taken are based on the requirements of the case:

根据调查结果，负责人应在收到投诉后三（3）个月内详细说明针对投诉建议采取的所有措施。采取的措施基于案件的要求而定：

They need to be reasonable with regard to necessary efforts/expenses as well as timely clarification of the matter.

拟采取的措施在必要的努力/费用以及及时澄清问题方面，他们应是合理的；或

They can be determined by relevant laws, regulations and standards.

拟采取的措施由相关法律、法规和标准来确定。

- 4.1.15 In order to ensure that there is no conflict of interest, the decision resolving the complaint is taken by, or reviewed and approved by, person(s) not involved in the activities related to the complaint. Furthermore, personnel involved in the review or approval of a resolution to a complaint must not have been involved in consultancy tasks with or have been employed by the client in question for the past three years.

为了确保不存在利益冲突，关于投诉的决定应由未参与投诉相关活动的人员做出或由其批准。此外，参与审查或批准投诉解决方案的人员在过去三年内未参与所涉及客户的咨询工作或被其雇用。

- 4.1.16 The person in charge notifies the complainant in writing when the complaint is considered to be closed, meaning that Ecocert CH has gathered and verified all necessary information, investigated the allegations, taken a decision on the complaint.

当投诉结束时，负责人以书面形式通知投诉人，这意味着 Ecocert CH 已收集并验证了所有必要信息，调查了指控并就投诉做出了决定。

- 4.1.17 If applicable, the competent authorities and/or standard holders are included in the process.

如适用，过程中应包括主管当局和/或标准持有人。

- 4.1.18 The person in charge informs the Quality Manager upon the completion of the complaint procedure and forwards respective documentation to the Quality Manager for final assessment. 负责人在投诉程序完成后通知质量经理，并将相应的文档转发给质量经理进行最终评估。

- 4.1.19 If the issue has not been resolved through the full implementation of Ecocert CH's own procedures, or if the complainant disagrees with the conclusions reached by Ecocert CH and/ or is dissatisfied by the way Ecocert CH handled the complaint, the complainant may refer their complaint to the competent authorities and/or the standard holder.

如果执行 Ecocert CH 自己的程序问题未得到解决，或者投诉人不同意 Ecocert CH 得出的结论和/或对 Ecocert CH 处理投诉的方式不满意，则投诉人可以继续向主管当局和/或标准持有人投诉。

- 4.1.20 As to FSC-related complaints, the complainant may refer their complaint to ASI, if the issue has not been resolved through the full implementation of Ecocert CH's own procedures, or if the complainant disagrees with the conclusions reached by Ecocert CH and/ or is dissatisfied by the way Ecocert CH handled the complaint. As the ultimate step, the complaint may be referred to FSC.

对于与 FSC 有关的投诉，如果执行 Ecocert CH 自己的程序问题未得到解决，或者投诉人不同意 Ecocert CH 得出的结论和/或对 Ecocert CH 处理投诉的方式不满意，投诉人可以将其投诉提交给 ASI，直至可以将投诉移交给 FSC 作为终极投诉。

4.2 Appeal handling process 申诉处理程序

- 4.2.1 Appeals need to be submitted to Ecocert CH in writing within 14 days after receipt of the Ecocert CH certification decision. The appellant may send the appeal to office.switzerland@ecocert.com .

申诉需自收到 Ecocert CH 认证决定 14 日之内以书面形式提交至 Ecocert CH。申诉人可以将申诉发送至 office.switzerland@ecocert.com。

The operation is informed about the right to appeal any Ecocert CH certification decision by the following indication in the notification of the certification decision: “This decision may be appealed within 14 days to Ecocert Swiss AG, Hafenstr. 50c, CH-8280 Kreuzlingen.”

通过在认证决定通知中的以下说明，告知操作人有权对任何 Ecocert CH 认证决定提出申诉：“如对本决定存在异议，可在 14 天内上诉到 Ecocert Swiss AG,港口大街 50c, CH-8280 克罗伊茨林根。”

- 4.2.2 Appeals need to include a clear description of the case, objective evidence to support each element or aspect of the appeal, and the name and contact information of the appellant.

申诉应包括对事实的清晰描述，支持每个申述要素或方面的客观证据以及申诉人的姓名和联系式。

- 4.2.3 Appeals are forwarded to the person in charge, which is the Scheme Manager concerned.

将申诉转发给负责人，也就是有关项目经理。

- 4.2.4 All appeals are preliminarily reviewed by the person in charge.

所有申诉均由相关负责人进行初步审查。

4.2.4.1 If the appeal is outside of the scope for appeals handling, the person in charge will reject the appeal in writing. 如果申诉不在申诉处理范围之内，则负责人将以书面形式拒绝。

4.2.4.2 If the appeal is within the scope for appeals handling, the person in charge initiates the appeal handling procedure as detailed hereafter.

如果申诉在处理范围之内，则负责人将启动申诉处理过程，如下所述。

- 4.2.5 Each appeal case will be registered in the Appeal Form (E.CH I 2.4.10.2) and forwarded to the Quality Manager for central registration in the list of appeals.

每个申诉案例都将在申诉表（E.CH I 2.4.10.2）中进行登记，并转发给质量经理以在申诉清单中进行集中登记。

- 4.2.6 As to FSC-related appeals, Ecocert CH will respond to appeals in the same language that is used in the public summary certification report, or will agree with the appellant on the language used.

对于与 FSC 有关的申诉，Ecocert CH 将以公开的摘要认证报告中使用的相同语言来答复申诉，或者将就所使用的语言与申诉人达成一致。

- 4.2.7 As soon as possible, at the latest within 2 weeks (10 working days) the person in charge writes to the appellant to confirm receipt of the appeal and to provide an overview of the proposed course of action to follow up on the appeal.

负责人应最迟在 2 个星期（10 个工作日）内书面回复申诉人，以确认收到申诉并概述拟采取的后续行动措施。

- 4.2.8 The appeal is duly investigated and the certification decision re-assessed in consideration of the new evidence or additional justification provided, as well as additional information obtained by other staff members and/or third party experts, if relevant. Further information is requested from the appellant if necessary.

申诉将根据新提供的证据、额外的理由，以及从其它相关工作人员和/或第三方专家（如相关）获得的其他信息进行适当调查或重新评估认证决定。如有必要，请申诉人提供更多信息。

- 4.2.9 The person in charge keeps the appellant informed of the progress in evaluating the appeal.

负责人应告知申诉人申诉的进展。

- 4.2.10 Based on the result of the investigation, the person in charge specifies all proposed actions in conclusion to the appeal within three (3) months of receiving the appeal.

根据调查结果，负责人应在收到申诉后三（3）个月内详细说明针对申诉建议采取的所有措施。

- 4.2.11 In order to ensure that there is no conflict of interest, the decision resolving the appeal is taken by, or reviewed and approved by, person(s) not involved in the activities related to the appeal. This means, the person in charge must have been not involved in the certification decision questioned in the appeal. Furthermore, personnel involved in the review or approval of a resolution to an appeal must not have been involved in consultancy tasks with or have been employed by the client in question for the past three years.

为了确保不存在利益冲突，关于申诉的决定应由未参与申诉相关活动的人员做出或由其批准。即，该负责人未参与申诉中质疑的认证决定。此外，参与审查或批准申诉解决方案的人员在过去三年内未参与所涉及客户的咨询工作或被其雇用。

- 4.2.12 The person in charge notifies the appellant in writing about the outcome of the appeal when the appeal is considered to be closed.

当申诉结束时，负责人将申诉结果以书面形式通知申诉人。

The appeal is closed once Ecocert CH has gathered and verified all necessary information, assessed the evidence provided, and taken a decision on the appeal. If applicable, the certification decision needs to be revised and updated certification documents need to be issued according to scheme requirements.

一旦 Ecocert CH 收集并验证了所有必要信息、评估了所提供的证据并对申述做出决定，申诉即告结束。如适用，需要根据项目要求修改认证决定并发布更新的认证文件。

- 4.2.13 If applicable, the competent authorities and/or standard holders are included in the process.

如适用，过程中应包括主管当局和/或标准持有人。

- 4.2.14 The person in charge informs the Quality Manager upon the completion of the appeal procedure, and forwards respective documentation for final assessment.

负责人在申诉程序完成后通知质量经理，并将相应的文档转发给质量经理进行最终评估。

- 4.2.15 In case the appellant disagrees with the conclusions reached by Ecocert CH, the appellant may refer their appeal to the competent authorities and/or the standard holder.

如申诉人对 Ecocert CH 得出的结论表示异议，申诉人可以继续向主管当局和/或标准持有人申诉。

5. Documentation 相关文件

5.1 All complaints and appeals are recorded, as well as the actions undertaken to resolve them [STD-20-001 V4-0, 1.9.11]. The documentation in the file of the complainant or appellant, which is usually the client file, includes:

所有投诉和申诉都应予以记录，以及为解决这些问题而采取的行动 [STD-20-001 V4-0, 1.9.11]。投诉或申诉的文件（通常是客户文件）包括：

- The complaint / appeal received (with dates and original information) 收到的投诉/申诉（含日期及原始信息）；
- Ecocert CH's confirmation of receipt of the complaint/appeal Ecocert CH 收到投诉/申诉的确认；
- All relevant communication and a complete description of the handling of the appeal/complaint including all persons involved 所有相关的沟通和对申诉/投诉处理的完整描述，包括所有相关人员；
- The outcome of the appeals/complaints procedure 申诉/投诉程序的结果；
- Recommendations 建议的措施；
- Action taken and their resulting effects 采取的措施及其产生的影响。

5.2 The communication and relevant documents related to the appeal/complaint are also documented 与申诉/投诉相关的沟通和相关文件也应记录：

- in the file of other parties concerned, if relevant 在有关相关方档案中予以记录，如有关；
- in the file of parties that have to be informed of the case (e.g. relevant authorities) 在必须通知的相关方档案中予以记录，如有关主管机构。

5.3 The completed and signed Complaint/Appeal Form is filed in the central complaint/appeal folder with a reference to the filing location of all relevant communication and documents related to the case.

将已完成并已签名的投诉/申诉表格在中心投诉/申诉文件夹中归档，并注明与案例相关的所有沟通和文件的归档地点。

The case is recorded in the list of complaints/appeals which is kept per year.

案例在每年保存的投诉/申诉清单中进行记录。