

Appeal and Complaint Resolution Procedure

申诉与投诉的解决程序

1 Policy 方针

To ensure the public accountability of the certification process, all interested parties shall have access to procedures which consider appeals and complaints in a timely and fair way. This is the Soil Association Certification's Appeal and Complaint Resolution Procedure for the Forestry Department.

为确保认证过程对公众负责，所有相关各方都应采取及时和公平的程序来考虑申诉和投诉问题。本文是土壤协会认证申诉与投诉解决程序中有关林业的部分。

Through this policy, we aim to:
透过这项方针，表明我们的目标是：

- Resolve issues that are within the work of Soil Association Certification Scheme standards and procedures.
- 解决土壤协会认证体系标准和程序工作中的问题。
- Identify improvements to standards and procedures so that future complaints are avoided.
- 明确的改进标准和程序，以避免今后的投诉。

2 Scope 范围

This procedure relates to appeals and complaints. It is separate from the stakeholder consultation process for forest management (FM) certification which is described in IP-GEN-006 Consultation Policy and Guidelines (IP-GEN-006 is publicly available at: www.soilassociation.org/certification/forestry/)

本程序涉及申诉和投诉。本程序有别于森林经营（FM）IP-GEN-006《咨询方针与指南》（IP-GEN-006 公众可获取的途径 www.soilassociation.org/certification/forestry/）中描述的利益相关方咨询过程。

NOTE: Soil Association Certification encourages all stakeholders with concerns in relation to forest management or controlled wood certification to engage fully with the stakeholder consultation process of the certificate holder and stakeholder consultation of the Soil Association prior to lodging an appeal or complaint. If you would like your comment to be considered as stakeholder consultation feedback please e-mail: ForestryConsultation@soilassociation.org Alternatively please find the phone number and address of our head office on the section 'Contacting us' on page 4. Regional contact details are found on our website.

注：土壤协会认证鼓励所有关注森林经营或受控木材认证的利益相关方，在提出申诉或投诉之前，充分参与证书持有者开展的利益相关方咨询以及土壤协会认证的利益相关方咨询。如果您希望将您的评论被视作利益相关方咨询反馈，请发邮件到：ForestryConsultation@soilassociation.org 另外，也可以在本文件第 4 页的“联系我们”部分中找到我们总公司的电话和地址。区域联系方式可在我们的网站上找到。

3 Definitions 定义

Complaint: An expression of dissatisfaction by any person or organisation presented to a certification body relating to the activities of that certification body and/ or the activities of their clients. In the context of Forest Stewardship Council® (FSC®), a complaint must include:

- the name and contact information of the complainant
- a clear description of the issue, and
- evidence to support each element or aspect of the complaint.

投诉: 任何人或组织对认证机构有关认证机构活动和/或其客户的活动提出的不满意的表达。森林管理委员会®(FSC®)的文件规定, 投诉必须包含:

- 投诉人的姓名和联系方式
- 对投诉问题的清楚描述, 以及
- 证据能够支持投诉的每个要素和方面。

Appeal: A request by the client to the certification body for reconsideration of a decision it has made relating to that client.

申诉: 客户要求认证机构重新考虑其与该客户有关认证的决定。

4 Information about Soil Association Certification's Appeal and Complaint Resolution Procedure

土壤协会认证申诉与投诉解决程序的有关信息

This procedure is made available in the following ways:

本程序可用于以下方式:

- All applicants for certification are told about the procedure as part of the application process.
- 所有认证申请者都应该被告知本程序属于申请过程的一部分。
- If you are consulted during the certification process, you'll be told about the appeal and complaint resolution procedure at this time.
- 如果您在认证过程中被进行咨询, 此时我们将会告知您有关申诉和投诉的解决程序。
- This procedure document is publicly available at:
www.soilassociation.org/certification/forestry/
- 本程序文件的可获取途径: www.soilassociation.org/certification/forestry/
- In addition, the procedure can be sent to anyone (including clients) on request.
- 此外, 该程序可根据需求发送给任何人 (包括客户)。

NB. Soil Association Certification will not take any discriminatory action in relation to the submission of an appeal/complaint.

NB. 土壤协会认证不会对任何申诉与投诉采取歧视行动。

5 Summary of the Procedure for Handling Complaints and Appeals

处理投诉和申诉的程序的摘要

Soil Association Certification will take the following steps in relation to a complaint or appeal:

土壤协会认证将依据以下步骤处理有关投诉或申诉:

- Acknowledge receipt of an appeal/complaint/submission of concern.
- 确认收到了有关申诉、投诉、提议的关注。
- Conduct an initial review of the submission to determine if it can be substantiated as an appeal or complaint.
- 对提交的文件进行初步审查, 以确定其是否符合申诉或投诉的内容。
- Provide an initial response, including an outline of the Soil Association Certification's proposed course of action to follow up on the complaint or appeal (as per 6.2 below)

within two (2) weeks of receiving a complaint or appeal. Contact details for the Soil Association Certification person nominated to be engaged in the appeal or complaint process will be included in the initial response.

- 作出初始回复，包含土壤协会认证提出的在接到投诉或申诉 2 周内对投诉或申诉进行追踪（根据下文 6.2）的行动纲要。初始回复中应包含土壤协会认证任命的处理申诉或投诉问题的人员的联系方式。
- **Gather and verify all necessary information (as far as possible) in order to reach a decision**
- 为作出最终决定，应尽可能的收集和验证所有必要的相关信息。
- **Keep a record of all complaints and any actions taken.**
- 保留所有投诉及所采取的任何措施的记录。
- **Allow the concerned party to have the opportunity to present the complaint or appeal to the nominated Soil Association Certification entity (as specified in 6.3 below).**
- 允许相关方对土壤协会认证任命的组织（如下文 6.3 中所述）提出投诉或申诉。
- **Keep parties informed of progress in evaluating the complaint/ appeal.**
- 让各方了解投诉/申诉评定的进展情况。
- **Investigate the allegations and specify all the proposed actions in conclusion to the complaint or appeal within three (3) months of receiving the complaint or appeal.**
- 调查指控，并对接到投诉或申诉的 3 个月内所采取的所有与投诉或申诉有关的行动作出说明。
- **Notify the complainant when the complaint is considered to be closed, meaning that Soil Association Certification has gathered and verified all necessary information, investigated the concerns and taken a decision on the complaint.**
- 当投诉被关闭时（意味着土壤协会认证收集并验证了所有必要信息，调查了投诉所关注的问题以及作出了相关决定），应及时通知投诉人。
- **Respond to complaints and appeals in the same language that is used in the public summary certification report, or agree with the complainant on the language used.**
- 使用认证报告公开摘要中的语言或与投诉人达成一致意见的语言来回应投诉或申诉。
- **Retain the anonymity of the complainant in relation to the client, if this is requested by the complainant.**
- 如果投诉人有要求时，应保留投诉人对其投诉的客户的匿名性。
- **Where necessary, inform the scheme owner that the complaint has been lodged.**
- 必要时，告知体系所有者投诉已经被提交。

Soil Association Certification will record and track complaints and appeals, as well as what actions need to be undertaken to resolve them.

土壤协会认证将对投诉和申诉以及为解决这些投诉和申诉所采取的行动进行记录和跟踪。

Also see [Annex 1 Flow diagram for the Appeal and Complaint Process \(page 5\)](#).

另见：附录 1 申诉和投诉流程图（第 5 页）

6 Procedure 程序

6.1 Initial Review 初步审查

On receipt of a concern, comment or query an initial review shall be conducted to determine if a complaint or appeal has been raised in accordance with the definitions in Section 3 (Definitions):

在收到关注点时，应该通过评价或查询的方式进行一个初步审查，以确定是否根据第 3 节（定义）中的定义提出了投诉或申诉：

- Soil Association Certification will confirm whether the complaint or appeal relates to certification activities for which it is responsible and, if so, shall address it.
- 土壤协会认证将确认投诉或申诉是否与其负责的认证活动有关，并且，如果是有关的，将会进行处理。
- Soil Association Certification will offer to continue further discussion in an attempt to resolve the issue. NB. If appropriate, we may recommend that you raise the issue directly with the certified organisation first.
- 土壤协会认证将会继续提出进一步讨论，以试图解决这个问题。NB.如果适宜时，我们可能会建议您首先直接向认证机构提出问题。
- If you want your concern to be treated as an appeal or complaint, but have not submitted the required information, Soil Association Certification will need you to include a clear description of the appeal or complaint, objective evidence to support each element or aspect of the complaint or appeal and your contact details before the matter can be considered in accordance with this procedure.
- 如果您希望将您的关注点被视作申诉或投诉，但尚未提交所需的信息，在您根据本程序考虑问题之前，土壤协会认证将需要您收集对申诉或投诉的明确说明，能够支持投诉或申诉每个要素或方面的客观证据以及您的联系方式。
- We will treat anonymous complaints and expressions of dissatisfaction which are not substantiated as complaints as stakeholder comments and we will address them during the next audit. All stakeholder comments will be anonymised and included in the certification report along with the Soil Association response. All FSC FM public summary certification reports are available on the FSC database:
<http://info.fsc.org/certificate.php>
- 我们将会把匿名投诉以及对未成立投诉而表达的不满视作利益相关方意见，并且我们将在下次审核期间解决这些问题。所有的利益相关方意见将被匿名化，并且会与土壤协会的回复一起被包含在认证报告中。所有的 FSC FM 认证报告公共摘要均可从 FSC 数据网站中获取：
<http://info.fsc.org/certificate.php>

6.2 Evaluation of the complaint or appeal 投诉或申诉的评估

The course of action proposed by Soil Association Certification will depend on the nature of the complaint or appeal and may include one or more of the following options in order to gather and verify all necessary information (as far as possible) to reach a decision:

为了收集和验证所有必要的信息（尽可能）从而作出决定，土壤协会认证提出的行动方案将取决于投诉或申诉的性质以及可能包括以下选项中的一个或多个：

- Desk based assessment of complaint or appeal, reviewing documents, photographs, letters and other evidence.
- 投诉或申诉的初步文件评估，审查文件、照片、信件以及其他证据
- Verification on site. If a complaint or appeal relates to the actions or activities of a client which require verification on site, we may think it best to make a site visit.
- 现场验证。如果投诉或申诉涉及要求进行现场验证的客户的行为或活动，我们可能会认为最好进行现场访问。

NB. Information about the client that is not publicly available and is obtained from sources other than the client (e.g. from a complainant) shall be treated as confidential, unless the source of information and the client give written consent to disclose it.

NB. 有关客户的私密信息以及从客户以外的渠道（例如来自投诉人）获得的信息应该被视为机密，除非信息来源者或客户书面同意公布这些信息。

6.3 Decision resolving the complaint or appeal 解决投诉或申诉的决定

If you want to make a complaint or appeal, you will be given the chance to present it to the decision-maker i.e. person (s) who have no conflict of interest and are able to make an unbiased decision.

如果您想提出投诉或申诉，您将有机会将其提交给决策者，即：与其没有利益冲突并且有能力作出公正决定的人。

Depending on the nature of the complaint or appeal, the decision resolving the complaint or appeal will be made by, or reviewed and approved by, person(s) not involved in the evaluation related to the complaint or appeal. One or more of the following methods will be used for making a decision on the complaint or appeal:

解决投诉或申诉的决定将取决于投诉或申诉的性质，或由未参与投诉或申诉评估的人审查和审批。以下一种或多种方法将被用于对投诉或申诉作出决定：

- A Soil Association Certification employee not involved in the evaluation and has no conflict of interest may make the decision resolving the complaint or appeal.
- 土壤协会认证未参与评估并且与投诉没有利益冲突的员工将为解决投诉或申诉作出决定。
- A review of the decision and final approval may be conducted by the Head of Forestry at the request of the Soil Association Certification employee.
- 根据土壤协会认证员工的要求，林业主管可以对决定和最终批准进行审查。
- The decision may be considered by the Soil Association Certification Limited's Certification Committee at the request of the Soil Association Employee or the Head of Forestry. The Certification Committee shall not include members who have been involved in the decision or otherwise have a conflict of interest.
- 应土壤协会会员或林业主管的要求，该决定可以由土壤协会认证有限公司的认证委员会审议。认证委员会应不包括涉及决定或其他与其利益有冲突的成员。

6.4 Decision to close the complaint 关闭投诉的决定

Soil Association Certification will notify you when the complaint is considered closed, meaning that Soil Association Certification has gathered and verified all necessary information, investigated the allegations, taken a decision on the complaint and responded to you, as the complainant.

当投诉被考虑关闭时，土壤协会认证将会通知您，意味着土壤协会认证已经收集和验证了所有的信息，调查了相关指控，为投诉作出了决定并回复给您（即投诉人）。

6.5 Further Resolution 进一步决议

In the case of appeals, further information is available on request in the Soil Association Guidance on appeals process for licensees' (C277fm).

在申诉的情况下，可以通过土壤协会认证有限公司申诉程序的要求获得进一步信息。

If you are not satisfied with the Soil Association Certification's decision;

如果您对土壤协会认证的决定不满意：

For Forest Stewardship Council (FSC) certification issues, you can take your complaint to:

关于森林管理委员会（FSC）认证的问题，您可以将您的投诉提交给：

ASI - Assurance Services International GmbH (ASI)
ASI-国际保障服务有限公司

Phone: +49 (228) 227 237 0

E-mail: asi-info@asi-assurance.org

Website: asi-assurance.org

Soil Association Certification's FSC License Code is FSC® A000525.

土壤协会认证的 FSC 许可码: FSC® A000525

As the ultimate step the complaint may be referred to FSC International.

将投诉提交给 FSC 是投诉程序的最后一阶段。

Phone: +49 (0) 228 367 66 0

Email: info@fsc.org

Website: fsc.org/en

For Programme of Endorsement of Forest Certification (PEFC™) certification issues, you can take your complaint to the PEFC National Office or PEFC International:

关于森林认证认可计划 (PEFC) 认证的问题, 您可以将您的投诉提交给 PEFC 国家办公室或 PEFC 国际:

PEFC International PEFC 国际

Phone: +41 (22) 799 4540

Email: info@pefc.org

Website: pefc.org

Soil Association Certification's PEFC Licence code is PEFC/ 16-44-917

土壤协会认证的PEFC 许可码: PEFC/ 16-44-917

7 Contacting Us 联系我们

Should you require any further information, please contact us at:

如果您需要任何更进一步的信息, 请联系我们:

Soil Association Certification - Forestry Team

Spear House, 51 Victoria Street, Bristol, BS1 6AD

土壤协会认证——林业组

布里斯托尔维多利亚街 51 号, BS1 6AD

Email: forestry@soilassociation.org

Phone: +44 (0)117 914 2435

Website: www.soilassociation.org/forestry

Annex 1 - Flow diagram for the appeal and complaint process

