

1. PURPOSE 目的

This procedure describes the method and responsibilities to deal with appeals, complaints and disputes from clients under ETKO CHINA certification programs, or any other related matters. Related parties may object to ETKO CHINA decisions.

本程序描述了处理艾拓克认证方案下的客户申诉、投诉和争议的方式和职责，或其他相关事宜的处理方法。相关方可能对艾拓克的决定提出异议。

2. RESPONSIBILITIES 职责

Quality Assurance Responsible, Quality Assurance Assistant, General Manager and Managing Director (MD) are responsible for the proper implementation of this procedure.

质量保证专员、质量保证助理、董事总经理和常务总经理（MD）负责本程序的正确实施。

3. RECORDS 记录

GP 05 F 01 List of Appeal Committee Members 申诉委员会成员表

GP 05 F 02 Recording Objection & Complaint & Appeal Form 异议、投诉和申诉记录表

GP 05 F 03 Application Form for Objection & Complaint & Appeal 异议、投诉和申诉申请表

4. REFERENCES 引用

SP-CN 06 Corrective & Preventive Actions Procedure 纠正和预防措施程序

5. APPLICATION 应用^{7.13}

ETKO CHINA implements this procedure to receive, evaluate and make decisions on complaints and appeals. Complaints and appeals and the process undertaken to resolve them are followed by the QMS Assistant and recorded by using “GP 05 F 02 Recording Objection & Complaint & Appeal” form. ^{7.13.1.}

艾拓克实施本程序以接收、评估并对投诉和申诉作出决定。投诉和申诉及解决过程由品质保证助理跟进，并使用《GP 05 F 02 异议、投诉和申诉记录表》记录。 ^{7.13.1.}

All related documents are kept in a file opened for this specific case.

所有相关文件存放在为此特定案件开设的文件夹中。

This procedure is kept available on the ETKO CHINA web page for access by the interested bodies.

本程序可在艾拓克网页上供相关机构查阅。

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Appeal & Complaint and Disputes

申诉、投诉和争议

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5.1 Acceptance of Appeals, Complaints and Inputs. 接受申诉、投诉和意见

5.1.1 Complaint Receive and Evaluation 投诉的接收和评估

Complaints are received through a variety of media including phone calls, letters, email, in person, or passed down from person to person. All persons submitting complaints are treated professionally, and their complaints are handled seriously.

投诉通过多种方式接收，包括电话、信件、电子邮件、亲自递交或通过他人传递。所有提交投诉的人都受到专业对待，投诉将被认真处理。

Complaining parties are requested to submit their objections, complaints and appeals by filling out the "GP 05 F 03 Objection & Complaint and Appeal Application Form" on the ETKO CHINA website, and to send their objections, complaints and appeals to hr@etko.com.cn in a clear and detailed manner.

投诉方被请求通过填写艾拓克网站上发布的《GP 05 F 03 异议、投诉和申诉申请表》提交异议、投诉和申诉，并将其以清晰、详细的方式发送至hr@etko.com.cn.

Complaining parties are requested and encouraged to submit complaints in writing, to be factual and detailed, and to sign their complaints. Most complaints are received by phone, obtaining pertinent, detailed information.

投诉方被请求并鼓励以书面形式提交投诉，确保其具有事实依据并详细说明，并签署投诉。大多数投诉通过电话接收，获取相关的详细信息。

Client feedback in relation to the followings will be treated as complaint and action will be taken:

客户反馈涉及以下情况将被视为投诉，并采取行动：

- Negative feedback about the standard service provided by ETKO CHINA;
关于艾拓克提供的标准服务的负面反馈；
- Failure by ETKO CHINA to provide an agreed service;
艾拓克未能提供商定的服务；
- Failure by ETKO CHINA to respond to a request for a service;
艾拓克未能对服务请求做出响应；
- The attitude or conduct of an inspector has been unacceptable;
检查员的态度或行为不可接受；
- ETKO CHINA has not followed an agreed procedure;
艾拓克未遵循商定的程序；
- Violation or inequitable application of the ETKO CHINA Quality System;
违反或不公平地适用艾拓克质量体系；

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- Not accepting decisions taken by ETKO CHINA;
不接受艾拓克做出的决定;
- As regards the certified products: the producers, operators, and consumers are in a state of contradiction in any quality parameters and/or trade.
关于认证产品：生产者、操作员和消费者在任何质量参数和/或交易方面存在反驳。

Appeals, complaints, and disputes are considered as application of the producer, processor, and consumers to ETKO CHINA, State Officials, and Accreditation body in respect of certified products, dissatisfaction with the service provided by ETKO CHINA, identifying an irregularity such as a quality parameter and/or fraudulent trade activities related to certified product within the scope of certification procedures.

申诉、投诉和争议被视为生产者、加工者和消费者就认证产品向艾拓克、国家官员和认可机构提出的申请，内容涉及对艾拓克所提供服务的的天，以及在认证程序范围内识别与认证产品相关的不规范行为，如质量参数和/或欺诈贸易活动。

If it is determined in the first evaluation that the complaint/objection is related to the valid certification activities, the person/organization making the application is officially notified in writing that the application has been received and processed. 7.13.2. & 7.13.3.

如果在首次评估中确定投诉/异议与有效的认证活动有关，提交申请的个人/组织将收到书面正式通知，告知其申请已被接收和处理。 7.13.2 & 7.13.3

The documents and information about the complaint, correspondences made, transactions carried out, and whether they are resolved or not are recorded by the QMS Assistant.

关于投诉的文件和信息、进行的沟通、已执行的事务及是否解决的情况由质量保证助理负责记录。

ETKO CHINA will be responsible for gathering and verifying all necessary information (as far as possible) to progress the complaint or appeal to a decision. 7.13.4

艾拓克负责收集并尽可能核实所有必要信息，以推进投诉或申诉的决定。 7.13.4

ETKO CHINA informs related official bodies such as CNCA, Market Supervision Administration, Accreditation body, or other certification bodies when necessary, regarding the objections, appeal, and/or actions taken regarding the complaint.

在必要时，艾拓克将向相关的官方机构（如认监委、市场监督管理局、认可机构或其他认证机构）通报有关异议、申诉和/或针对投诉采取的行动。

5.2. Appeal Committee Function 申请委员会的职能

5.2.1 The chairman of Appeal Committee (APC) is the Managing Director. APC is consisting of 5 members including the chairman. The members are selected by chairman:

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申诉委员会(APC)主席为董事总经理。APC由包括主席在内的5名成员组成。委员由主席选出;

- Chairman 主席
- Three members independent of ETKO CHINA (one shall be lawyer)
三位艾拓克外部的成员 (其中一位是律师)
- Quality Assurance Responsible 质量保证专员

5.2.2 The APC members are selected on the basis of their expertise on the field, subject processes, their ability to render a decision in an objective and impartial manner. No one of the members of APC shall have a direct interest in the organization raising the appeal. Under such circumstances that member is replaced. The list of APC members shall be provided to client in writing who shall have the right to reject any member on the basis of conflict of interest only.

申投诉委员会成员是根据他们在该领域的专业知识、主题流程以及他们以客观和公正的方式做出决定的能力来选择的。申投诉委员会的任何成员不得与提出申诉的组织有直接利益关系, 如果有这种情况, 该成员被替换。APC成员名单应以书面形式提供给客户, 客户只有在利益冲突的基础上才有权拒绝任何成员。

5.2.3 APC members review the relevant file prepared by the Quality Assurance Assistant and the relevant evidence provided by the client before the committee convenes.

申投诉委员会成员在委员会召开前审核质量保证助理准备的相关文件和客户提供的相关证据。

5.2.4 During the appeals meeting the client and head inspector has the right to present verbal evidences based on the documents or any other objective evidences submitted previously. Minutes of meeting is taken appropriately and maintained. APC has the right to call upon the services of experts in the relevant field. Such experts shall be independent of ETKO CHINA and the client. The appeals committee decides either TO ACCEPT or NOT TO ACCEPT the appeal.

在申诉会议期间, 客户和主任检查员有权在先前提交的文件或任何其他客观证据的基础上提出证言。会议记录被适当地记录和保存。申投诉委员会有权向相关领域的专家寻求支持。这些专家应独立于艾拓克、ETKO集团和客户。申投诉委员会决定接受或不接受该申诉。

5.2.5 The decision is taken by majority vote and it is unanimous.

决定是多数人投票通过的, 是无异议的。

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5.2.6 Appeal Committee decision is final.

申投诉委员会的决定为最终决定。

5.2.7 Whenever possible, the formal notice of the outcome and end of the complaint and/or appeal process is given to the complainant and/or appellant by **Quality Assurance Assistant**. 7.13.7-7.13.8

在可能的情况下，质量保证助理会向投诉人及/或上诉人发出有关投诉及/或上诉程序的结果及结束的正式通知。 7.13.7-7.13.8

5.3. Costs 成本

Extra cost of the appeal, complaint, and dispute is borne by ETKO CHINA if appeal, complaint, and dispute succeed. Otherwise, the cost is at the decision of ETKO CHINA if the client fails.

如果申诉、投诉和争议成功，申诉、投诉和争议的额外成本由艾拓克承担。否则，如果客户失败，额外成本由艾拓克决定。

5.4 Corrective Action 纠正措施

Root cause and corrective actions regarding the objection and/or complaint are carried out as specified in the "SP-CN 06 Corrective & Preventive Actions". 7.13.9

关于异议和/或投诉的根本原因和纠正措施按照《SP-CN 06 纠正和预防措施》中的规定进行。 7.13.9

5.5 Confidentiality and Preventing Conflict of Interest 保密和防止利益冲突

Any document or any other evidence related to the appeals is strictly confidential.

与申诉相关的任何文件或其他证据都是严格保密的。

ETKO CHINA shall not disclose any information, samples, materials, or documents to other parties unless it is enforced by the law of the land and accreditation bodies.

艾拓克不得向其他方披露任何信息、样品、材料或文件，除非法律或认可机构强制要求。

All members of the Appeal Committee (APC) sign relevant documents for confidentiality and conflict of interest, as described in GP-CN 08 Confidentiality and Conflict of Interest Procedure.

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所有申诉委员会（APC）成员都签署相关的保密和利益冲突文件，具体描述在《GP-CN 08 保密和利益冲突程序》中。

To ensure that there is no conflict of interest, the personnel, including those acting in a managerial capacity who have provided consultancy for or been employed by a client, is prevented from being used by ETKO CHINA to review or approve the resolution of a complaint or appeal for that client within two years following the end of the consultancy or employment.

为确保不存在利益冲突，任何曾为客户提供咨询或被客户雇佣的人员，包括担任管理职务的人员，在其咨询或雇佣结束后的两年内不得由艾拓克指派处理该客户的投诉或申诉的审核或批准。

6. Investigations for the Issues which is not an Appeal, Complaint or Dispute Notified by Program Owners

对方案所有方通知的非申诉、投诉或争议问题的调查

Practices to be carried out by ETKO CHINA when it is necessary to carry out an investigation that is transferred to us from other certification bodies or delivered to us from program owners and is not within the scope of complaints, objections or disputes;

当需要对从其他认证机构转移给我们或由方案所有者交付给我们的、不在投诉、异议或争议范围内的问题进行调查时，艾拓克将执行以下操作：

- ETKO CHINA meets internally and evaluates the situation deeply.
艾拓克将内部召开会议，深入评估情况。
- Contacts the relevant customer, informs him/her about the issue and requests the necessary information and documents, specifying the deadline.
联系相关客户，告知其问题并要求提供必要的信息和文件，并明确截止日期。
- A second meeting is held in line with the documents received, and it is decided whether an on-site inspection is necessary during this investigation process.
根据收到的文件召开第二次会议，并决定在此调查过程中是否有必要进行现场检查。
- The decisions taken will be clarified at the meeting to be held after the on-site inspection, if necessary.
如有必要，在现场检查后举行的会议上将明确所作出的决定。
- Feedback is given to the customer and the party who contacted us for research.
将调查结果反馈给客户及与我们联系的问题发起方。

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UPDATES TABLE

SECTION CONTENT	SECTION NR	REV. NR	REV. DATE
Initial release of "ETKO-深圳-QP-10申诉、投诉、争议程序"	Full Document	00	21.08.2021
Re-organizing and re-structure the procedure to align with the management practice and doc Nr. Of ETKO Turkey.	Full Content and Doc Nr.	01	23.09.2024

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