

	<b>Information for ETKO Certification Services of Private Standards</b> <b>OBP Program / Textiles Care Labelling Conformance Program</b> 艾拓克私有标准认证服务信息 - 趋海塑料方案/纺织品维护标签符合性方案	Doc. Nr	GP-CN 33
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## 1. General概述

This document describes the procedure to be followed by ETKO and the activities to be realized by the operator to realize the evaluation and certification of the Textile, Plastic, Leather, and other applicable processing activities of an operator in private scopes. An operator having a certificate successfully by this procedure is approved for their production operations and is permitted to make use of the relevant logos in their business.

本文件描述了艾拓克应遵循的程序以及操作方应实施的活动，以实现操作方在私有标准范围内的纺织、塑料、皮革和其他适用加工活动的评估和认证。通过此程序成功获得证书的操作方将获得生产运营许可，并被允许在其业务中使用相关徽标。

**Accessibility:** ETKO services are equally accessible without discrimination to any interested operation whose activities fall within ETKO's field of operation.

可访问性：任何有兴趣且其活动属于艾拓克运营范围的操作方均可平等获取艾拓克服务，不会受到歧视。ETKO works according to non-discriminatory policies and procedures, ensuring that no undue financial (e.g. concerning the fee structure) or other conditions (such as the size of the applicant or membership of any association) are applied.

艾拓克遵循非歧视性方针和程序，确保不施加不当的财务条件（例如，关于费用结构）或其他条件（例如申请人的规模或任何协会的会员资格）。

ETKO accepts inspection assignments regardless of whether they are for the entire processing chain, parts thereof, or single operators.

艾拓克接受检查任务，无论是针对整个加工链、部分加工链还是单个操作方。

Reference Standards to ETKO certification programs are the following: 4.6.a

艾拓克认证方案的相关标准如下：4.6.a

- Ocean Bound Plastic Certification Program;  
趋海塑料认证方案;
- Textiles Care Labelling Conformance Certification Program;  
纺织品维护标签符合性认证方案;
- Applicants can download these regulations and/or standards from the ETKO website:  
申请人可以从艾拓克网站下载这些法规和/或标准:  
<http://etko.com.tr/en/>  
and/or 和/或  
<http://china.etko.com.cn/>

When there are changes to the certification requirements affecting the certification system operators may be

informed by the program owner or via ETKO. Any important changes for ETKO's inspection are notified to operators through the ETKO website under the section news. Additionally, the operators in question are informed by email correspondence. Eventually, ETKO verifies adapting system changes by the operators during the inspections.

当认证要求发生变化并影响认证体系时，操作方会收到方案所有者或经由艾拓克的通知。艾拓克检查的任何重要变化都会通过艾拓克网站的新闻部分通知操作方。此外，还会通过电子邮件通知相关操作方。最终，艾拓克会在检查期间验证操作方是否适应了系统变化。

When explanations or interpretations of certification standards are required, it is prepared by the technical experts within the ETKO employees, advisory committee members, or hired independent experts related to the scheme in question. ETKO makes sure that this information is formulated by relevant and impartial persons possessing the necessary technical competence such as textile experts for textile programs.

当需要解释或说明认证方案时，这些信息由艾拓克员工中的技术专家、顾问委员会成员或与相应方案相关的受聘独立专家准备。艾拓克确保这些信息由具备必要技术能力的相关和公正的人员制定，例如纺织方案的纺织专家。

The operator shall comply with the requirements stated in this procedure and other ETKO documents as well as relevant legal and statutory documents and shall maintain all the records related to the production and processes in a satisfactory condition to receive and maintain the Certificate.

操作方应遵守本程序和其他艾拓克文件以及相关法律和法定文件中规定的要求，并应以令人满意的状态保持与生产和流程相关的所有记录，以获得和维持证书。

Documents issued/alterd by persons who are not authorized to issue documents are fake documents. 未经授权签发文件的人签发/更改的文件属于伪造文件。

Documents that show buyer, seller, date and serial number, etc. falsified are considered fake documents. Actions required by the standard regarding fake/misleading documents are taken.

买方、卖方、日期和序列号等信息被伪造的文件被视为伪造文件。将根据伪造/误导性文件标准采取相应措施。

The scope of the ETKO certification process is limited only to products and processes, which are directly controlled by the operator. The certification process does not cover

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the systems in which the products are not produced by the operator's own system and the processes are not managed and controlled by the operator's own system. 艾拓克认证过程的范围仅限于由操作方直接控制的产品和过程。认证过程不涵盖产品不是由操作方自己的系统生产的体系以及不是由操作方自己的系统管理和控制的过程。

Operators that want to be certified to ETKO's scopes of private programs shall:  
希望获得私有标准的艾拓克范围的认证的操作方应:

- Comply with applicable standards and requirements. 遵守适用的标准和要求。
- Permit on-site inspections with complete access to the production or handling operation, including no certified production and handling areas, structures, and offices. In case the organization includes multiple sites in the scope of SC, permits to make audit all sites on-site annually, unless:  
允许对生产或处理操作进行全面现场检查，包括未经认证的生产和处理区域、结构和办公室。如果组织在范围证书的范围包括多个站点，则允许每年对所有站点进行现场审核，除非：
  - The site is a trader corresponding to the Trader definition and only applying for OBP Recycling Organization Standard, or an OBP Brand applying for OBP Brand Standard, where a remote audit may be allowed; or  
该场所符合贸易商的定义且仅仅申请OBP回收组织标准，或OBP品牌申请OBP品牌标准，这种情况，允许进行远程审核；或者
  - For OBP program, the organization is being audited on a sampling basis for the following categories: Independent Collectors, Active Collection sites, Storage and processing sites, Small Collectors, Sites for a Multisite Certification, Subcontractor operations and Approved Treatment facilities, in which case the "Determination of sample size and composition" section of OBP CERTIFICATION PROGRAM AUDIT PROTOCOLS shall apply.  
对于OBP方案，组织的以下类别以抽样基础进行审核：独立收集工、活动的收集场所、存储和加工场所、小收集商、多场所认证的子场所、分包商的操作及批准的处理设施，这种情况适用《OBP认证方案审核协议》中的“样本大小和组成的确定”部分。
- make all necessary arrangements for the conduct of the evaluation, including provision for examining documentation and access to all areas, records (including internal audit reports), and personnel for

the purposes of evaluation (e.g. testing, inspection, assessment, surveillance, reassessment) and resolution of complaints;

为进行评价做好一切必要安排，包括审查文件和访问所有区域，记录（含内审报告），为评价目的人员（如测试、检查、评估、监督、再评估）和投诉解决的规定；

- make claims regarding certification only in respect of the scope for which certification has been granted; 仅针对已授予认证的范围作出有关认证的声明；
- not use the product certification in such a manner as to bring ETKO into disrepute and not make any statement regarding its product certification which ETKO may consider misleading or unauthorized; 不得以损害艾拓克声誉的方式使用产品认证，也不得就其产品认证做出任何对艾拓克可能认为具有误导性或未经授权的声明；
- Maintain all records applicable to the certified operation and allow authorized representatives of the scheme owners, the applicable officials from the authority, and the ETKO inspector access to such records during normal business hours for review and copying to determine compliance with the regulations;  
保留所有适用于经认证操作的记录，并允许方案拥有方的授权代表、相关的当局官员和艾拓克检查员在正常工作时间内访问这些记录进行审查和复制，以确定是否符合规范；
- upon suspension or cancellation of certification, stop its use of all advertising matter that contains any reference thereto and returns any certification documents as required by ETKO;  
在认证被暂停或取消时，停止使用所有包含任何提及该认证的广告材料，并根据艾拓克的要求退还任何认证文件；
- use certification only to indicate that products are certified as being in conformity with specified standards;  
使用认证仅用于表明产品经过认证符合特定标准；
- endeavor to ensure that no certificate or report nor any part thereof is used in a misleading manner in making reference to its product certification in communication media such as documents, brochures, or advertising, complies with the requirements of ETKO  
尽力确保在文件、手册或广告等传播媒体中引用其产品认证时，不会以误导性的方式使用任何证书或报告或其任何部分，符合艾拓克的要求
- Submit the applicable fees charged on the time 按时缴纳相关费用
- Immediately notify ETKO concerning any:

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立即通知艾拓克有关任何以下事项:

- Application, including drift, of a prohibited substance to any production unit, site, facility, or product that is part of an operation; and 将禁用物质应用于 (包括漂移) 任何生产单位、场所、设施或作为作业一部分, 的产品; 以及
- Change in a certified operation or any portion of a certified operation that may affect its compliance with the regulations. 经认证的操作活动或其任何部分可能影响其符合性的变更。

Also, ETKO operators who request to become certified shall:

此外, 要求获得认证的艾拓克操作方应

- operate a management system that ensures that all applicable criteria of the Standard are fully implemented. 运行一个管理系统, 确保标准的所有适用条件都得到全面实施。
- establish, implement, and maintain documented procedures and/or work instructions covering all applicable criteria of the corresponding certification program. 建立、实施和维护涵盖相应认证方案的所有适用标准的文件化程序和/或工作指引。
- maintain a documented management plan that describes processes, including the points of risk as well as a material and process flow diagram. 维护一份描述过程的文档管理计划, 包括风险点以及材料和工艺过程图。
- (Applicable for OBP program) appoint a management representative to be responsible for the overall conformity with the corresponding OBP program. (适用于OBP方案) 指定一名管理代表, 负责全面符合相应的OBP方案。
- provide ETKO with access to complete, up-to-date, and accurate information, along with access to their operations to demonstrate conformity with the corresponding certification program. Access shall at a minimum include the following: 向艾拓克提供完整、最新和准确的信息, 及其运营情况, 以证明其符合相应的认证方案。访问应至少包括以下内容:
  - Access to all parts of the physical sites sampled for audit as per the criteria given by the corresponding certification program; 按照相应认证方案给出的标准, 访问被抽样的物理场所的所有部分;

- Access to all documents and records related to conformity with the corresponding certification program and the standard upon which claims are made, which may include financial records; 查阅与符合相应的认证方案和声明标准相关的所有文件和记录, 其中可能包括财务记录;
- Access for auditors to interview personnel without restriction and without observation by management representatives; and 审核人员可以不受限制地采访人员, 并且不会被管理代表观察; 以及
- Equivalent access to all sites and subcontractors included in SC. 对范围证书中包含的所有站点和分包商具有同等访问权。
- demonstrate that it is a registered legal entity with legal permission to operate and shall maintain a listing of the name, location, and processes performed at each site, along with documentation of legal permission to operate for all processing sites. 证明其是具有合法经营许可的注册法人实体, 并应保留每个站点的名称、位置和执行的过程的清单, 以及所有加工站点的合法经营许可文件。
- (Applicable for OBP program) conduct a regular (at least annual) internal inspection process to evaluate their own conformity with the corresponding OBP program. The internal inspection shall be documented along with any non-conformities identified. (适用于OBP方案) 定期 (至少每年一次) 进行内部检查, 以评估其是否符合相应的 OBP 方案。内部检查应与发现的任何不符合项合并形成文件。
- maintain and communicate clearly defined roles and responsibilities for all responsible personnel that may have an impact on the implementation of the Standard. 维护并传达可能对标准实施产生影响的所有负责人员的明确角色和职责。
- give proper and regular training to the staff responsible for each procedure impacted by the Standard with regard to the implementation of the Standard and documented training records shall be maintained. 对负责受本标准影响的每道程序的员工进行适当及定期的培训, 并保持形成文件的培训记录。
- (Applicable for OBP program) not sell more products as certified than they were able to produce given their available OBP certified inputs. (适用于OBP方案) 所销售的认证产品数量不得超过其在现有 OBP 认证投入下能够生产的数量。

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- (Applicable for OBP program) maintain a system that controls and quantifies volumes of claimed input and output materials at all times.  
(适用于OBP方案)保持一个始终控制和量化所要求的输入和输出材料量的系统。
- (Applicable for OBP program) maintain complete and up-to-date records of the description, quantities, origins, and/or destinations of all claimed materials purchased, sold, received, or delivered;  
(适用于OBP方案) 保存所有购买、销售、收到或交付的申报材料的描述、数量、来源和/或目的地的完整和最新记录；
- (Applicable for OBP program) maintain volume reconciliations performed and conduct an ongoing volume reconciliation based on mass balances adapted to the scope chosen and Supply Chain Model chosen, to balance the quantities of each claimed material purchased, in stock, and sold. The volume reconciliation calculation shall be conducted based on the standardized weight of the materials.  
(适用于OBP方案) 维护已执行的总量平衡对账，并根据所选范围和所选供应链模型所适应的总量平衡进行持续的总量平衡对账，以平衡所购买、库存和销售的每种认证材料的数量。总量平衡对账计算应根据材料的标准重量进行。
- (Applicable for OBP program) specify the equations used for the volume reconciliation and content claims, including an example of the equations being applied.  
(适用于OBP方案) 规定用于总量平衡对账和含量声明的方程式，包括所应用方程式的示例。
- (Applicable for OBP program) Keep an itemized table summary to facilitate reconciliation of all the collection/processing activities carried out throughout the year showing: i) total annual weight summaries per OBP Category if applicable, ii) type of collection events (for OBP-COL-STD or OBP-NEU-STD standard only), iii) total annual weight summaries of sold OBP per Category if applicable (for OBP-COL-STD or OBP-REC-STD standard only), iv) total annual volume and weight summaries of OBP treated by an Approved Treatment (For OBP-NEU-STD only).  
(适用于OBP方案) 保持一份分项表格汇总，以便于核对全年进行的所有收集/处理活动，其中显示：  
i) 如适用，每个 OBP 类别的年度总重量汇总； ii) 收集事件的类型（仅适用于 OBP-COL-STD 或 OBP-NEU-STD 标准）； iii) 如适用，每个类别售出的 OBP 的年度总重量汇总（仅适用于 OBP-COL-STD 或 OBP-REC-STD 标准）； iv) 经批准处理方式处理的 OBP 的年度总量和重量汇总（仅适用于 OBP-NEU-STD）。
- (Applicable for OBP program) keep complete traceability of product from raw material purchase to final product sales.  
(适用于OBP方案) 从原材料采购到最终产品销售，保持产品的完整可追溯性。
- maintain complete, up-to-date, easily auditable, and understood records to demonstrate conformity with all criteria of the corresponding certification program.  
保持完整、最新、易于审计和理解的记录，以证明符合相应 认证方案的所有准则。
- (Applicable for OBP program) retain all records used in the implementation and/or verification of the OBP program for a minimum of four years.  
(适用于OBP方案) 用于实施和/或验证 OBP 方案的所有记录至少保留四年。
- maintain full responsibility for conformity with the Standard for outsourced materials/products in case the organization outsources the handling and processing of claimed materials to subcontractors. Subcontractors shall not have common ownership with the contracting organization.  
如果组织将所要求材料的处理和加工外包给分包商，则组织应对被认证材料/产品是否符合标准承担全部责任。分包商不得与组织拥有共同所有权。
- maintain a list of all subcontractors who may be used to store or process certified materials/products, including the subcontractor's name, address, contact details, and outsourced processing steps.  
保持所有可用于存储或加工认证材料/产品的分包商名录，包括分包商的姓名、地址、联系方式和外包加工步骤。
- receive approval from ETKO and an updated SC before outsourcing to a new subcontractor.  
在外包给新的分包商之前，需获得艾拓克的批准和更新的 范围证书。
- (Applicable for OBP program) have a valid contract with each subcontractor which identifies the work to be outsourced and specifies that the subcontractor must comply with internal traceability requirements related to chosen Supply Chain Model for the subcontracted process  
(适用于OBP方案) 与每个分包商签订有效合同，该合同确定要外包的工作，并规定分包商必须遵守与分包过程所选供应链模型相关的内部可追溯性要求
- (Applicable for OBP program) Subcontractors shall sign a self-declaration of compliance with minimum social and environmental requirements as specified by this Standard. Copies of signed Subcontractors' self-declarations shall be kept by the organization.

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(适用于OBP方案) 分包商应签署一份符合本标准规定的最低社会和环境要求的自我声明。组织应保留已签署的分包商自我声明的副本。

- (Applicable for OBP program) ensure that sufficient transport records are used to track the movement of outsourced claimed materials, both when materials are sent to the subcontractor and when they are returned to the organization.  
(适用于OBP方案) 确保使用足够的运输记录来追踪外包认证材料的移动, 包括材料发送给分包商时以及材料返回组织时。
- (Applicable for OBP program) maintain a complete list of suppliers of claimed materials, including each supplier's license number.  
(适用于OBP方案) 保持所认证材料供应商的完整列表, 包括每个供应商的许可证号码。
- (Applicable for OBP program) inspect the documents accompanying the inputs to confirm that the description, quantity, quality, blend, mix percentage, and a source described in the document match the products received if the organization receives qualified claimed materials as inputs.  
(适用于OBP方案) 如果组织收到合格的已认证材料作为投入, 则检查随附投入的文件, 以确认文件中描述的描述、数量、质量、混合、混合百分比和来源与收到的产品相符。
- (Applicable for OBP program) has a system in place to manage the chain of custody of physical materials, based on the chosen Supply Chain Model.  
(适用于OBP方案) 根据所选的供应链模型, 建立管理实物材料的保管链系统。
- (Applicable for OBP program) demonstrate control over the flow, segregation, and identification of claimed materials within the site, including recipes used, material composition, material quality, and stock quantities.  
(适用于OBP方案) 证实对场地内已认证材料的流动、隔离和识别的控制, 包括使用的配方、材料成分、材料质量和库存数量。
- (Applicable for OBP program) clearly identify the claimed materials as they move through production at all times. This may include, but is not limited to, direct labelling of claimed material, machines, storage vessels, or storage areas.  
(适用于OBP方案) 在生产过程中始终清楚地识别已认证材料。这可能包括但不限于直接标记已认证材料、机器、储存容器或储存区域。
- (Applicable for OBP program) Manage the storage of claimed material in order to identify and segregate claimed material from non-claimed material. Procedures shall be in place to prevent the

commingling or substitution of the claimed material with other materials or products.

(适用于OBP方案) 管理已认领材料的储存, 以识别和隔离已认领材料和非已认领材料。应制定程序, 防止已认领材料与其他材料或产品混合或替代。

- (Applicable for OBP program) Take extra precautions where claimed materials are being shipped, stored, or processed alongside non-claimed materials of the same type to ensure that no accidental commingling or substitution occurs.  
(适用于OBP方案) 当认证材料与非认证的同类型材料一起运输、储存或加工时, 应采取额外的预防措施, 以确保不会发生意外混合或替换。
- (Applicable for OBP program) label all shipments of claimed materials with identification that clearly links them to the relevant invoices or shipping documents. Alternatively, this information may be presented on an accompanying document, as long as such documents can be undeniably linked with the packaging, container, or transport vehicle of the claimed material.  
(适用于OBP方案) 在所有认证材料的装运上贴上标签, 明确将其与相关发票或装运单据关联。或者, 此信息可以在随附文件中提供, 只要这些文件可以无可否认地与认证材料的包装、容器或运输车辆有关联。

Prior to any certification agreement being signed with the organization or certified company renewing certification, ETKO reviews whether the organization is eligible for certification, including whether they are in List of Banned Organizations and prohibited from becoming certified. 在与组织或认证公司签署任何认证协议以续签认证之前, 艾拓克都会审查该组织是否有资格获得认证, 包括其是否在被禁组织名单中以及是否被禁止获得认证。

The decision to accept the applicant as a client is made according to the evaluation result of whether the applicant is eligible.

根据申请人是否符合资格的评审结果, 决定是否接受申请人作为客户。

In case a previously certified component, product, shipment, or site is identified as restricted, and therefore ineligible for certification, ETKO:

如果之前被认证的组件、产品、货物或场地被确定为受限, 因此不符合认证资格, 艾拓克应:

- Immediately notify the program owner and withdraw the related SC of a such ineligible organization (entity); 立即通知方案所有者并撤销该不合格组织(实体)的相关范围证书;

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- Cease all related certification activities within the prescribed timeline provided by the program owner; 在方案所有者规定的时间内停止所有相关认证活动;
- For products already certified prior to becoming ineligible, ETKO considers them to be certified unless specifically identified by the program owner to be considered ineligible immediately. 对于在失去资格之前已经获得认证的产品，艾拓克会将其视为已认证产品，除非方案所有者明确指出其将立即被视为失去资格。

All applicants are required to complete the initial application process. Applicants are required to provide sufficient additional information to substantiate the baseline history of their certified status; including previous certification information where available. 所有申请人均需完成初始申请过程。申请人需提供足够的附加信息来证实其认证状态的基线历史；包括以前的认证信息（如果有）。

## 2. Application for certification and Contract 认证申请及合同

Upon request of the client, the related Fee Structures (e.g. TI-CN 14 Fee Structure OBP Program, TI-CN 14A Fee Schedule Textiles Care Labelling Conformance Program) are provided to the applicant. 根据客户的要求，向申请人提供相关费用结构（例如 TI-CN 14 OBP 方案费用结构, TI-CN 14A 纺织品维护标签符合性收费管理规则）。

Before the audit, applicants are required to send all necessary documents and information including application form and other documents requested by ETKO. Application form is required to be filled out especially by paying attention to the following points: Only the processes that are currently maintaining are stated in the application form and only the products and, product details which is possible to handle by the operator are stated in the application form. Means, the products and product details are stated in the application form, if the operator has a supplier list which includes applicable suppliers for the specific product or if the operator has processes to produce the specific product. 审核前，申请人需要提交所有必要的文件和信息，包括申请表和艾拓克要求的其他文件。填写申请表时，需要特别注意以下几点：申请表中只填写当前保持的过程，申请表中只填写操作方可以经营使用的产品和产品详细信息。也就是说，如果操作方拥有包含特定产品适用供应商的供应商清单，或者操作方拥有生产特定产品的过程，则申请表中才可体现相应的产品和

产品细节。

The offer/cost estimate to submit to the operator is prepared based on the information submitted by the operator with the use of the certification program-specific application forms. 向操作方提交的报价/成本估算是根据操作方提交的使用相应认证方案的特定申请表填写的信息准备的。

ETKO prepares the offer/cost estimate in accordance with the information gathered from the application file and include all the required details related to the services to be provided. 艾拓克根据从申请文件中收集的信息准备报价/成本估算，包含与要提供的服务相关的所有必需的详细信息。

ETKO determines the schedule, after reviewing the documents available, for the activities to be followed. 艾拓克在评审了可用的文件后，确定要遵循的活动时间表。

The date for the initial inspection is determined mutually by ETKO and the operator. The periods and dates for the surveillance visits is determined by ETKO to ensure the compliance of the system and the maintenance of the certificate. The visit dates are informed to the operator before the inspection by ETKO. 初次检查的日期由艾拓克和操作方共同确定。监督访问的期限和日期由艾拓克确定，以确保体系合规和证书的维护。艾拓克在检查前需将访问日期告知操作方。

## 3. Documents required by ETKO for Application Package Review: 艾拓克申请文件复核所需文件:

Following the contracting, the operator shall prepare an "Application Package" for the production systems and processes and submit it to ETKO within the appropriate time period. 签订合同后，操作方应准备生产系统和过程的“申请资料包”，并在适当的时间内提交给艾拓克。

Unless these documents and the original copy of the contract are submitted to the ETKO office, it is not possible to start with the inspection planning. 除非将这些文件和合同原件提交给艾拓克办公室，否则无法开始检查计划。

Application package review covers the information submitted in the Application Form and other documents

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sent by the operator. The aim of this review is to determine the present status of the operator's system; and its compliance level with the requirements and to estimate if the on-site inspections result in certification at this phase.

申请材料审查涵盖申请表中提交的信息以及操作方发送的其他文件。复核的目的是确定操作方系统的当前状态及其对要求的遵守程度，并评估在此阶段现场检查是否会促使获得认证。

At this phase, ETKO may request additional information for missing points or for clarification of the data already submitted by the operator.

在此阶段，艾拓克可能会要求提供更多信息以弥补缺失点或澄清操作方已提交的数据。

Also, the Application package Review form is sent to the client before the audit to inform them regarding whether the audit can be conducted.

此外，在审核之前，申请材料复核表会发送给客户，以告知他们是否可以进行审核。

The application process is completed with the above-mentioned information and documents supplied to ETKO. In case you provided the above information and documents to ETKO, the application process is completed.

#### 4-Application review consists of the following:

申请复核包括以下内容：

- A review to ensure that the application is complete as per ETKO procedures and another legal or statutory requirement.
- 进行复核以确保申请符合艾拓克程序和其他法律或法定要求且完整。
- A determination of whether the applicant complies with the relevant applicable requirements of the standards; 确定申请人是否符合标准的相关适用要求；
- (Applicable for OBP program) Verification that an applicant who previously applied to another certifying agent and received a notification of noncompliance or denial of certification has submitted documentation to support the correction of any noncompliance identified in the notification of noncompliance or denial of certification; and (适用于OBP方案) 核实先前向其他认证机构提出申请并收到不合规或拒绝认证通知的申请人是否已提交文件来支持纠正不合规或拒绝认证通知中发现的任何不合规情况；以及
- The scheduling of an on-site Inspection of the operation to determine whether the applicant

qualifies for certification if the review of application materials demonstrates that the production or handling operations are in compliance with the applicable requirements.

如果复核申请材料表明生产或处理操作符合适用要求，则安排现场检查以确定申请人是否有资格获得认证。

- A review of the application materials received and communication of the findings to the applicant. 复核收到的申请材料并将复核发现告知申请人。

#### 5-Contract合同

In case the application is accepted by ETKO, a contract is signed between ETKO and the client, clarifying the processes, producers, products, addresses and fee structure. The contract is valid until cancelled and prolonged automatically one more year if not cancelled at least 6 weeks before the annum. In case certification program covers different standards / regulations, terms and conditions are followed accordingly if different.

如果申请被艾拓克接受，艾拓克将与客户签订合同，明确过程、生产商、产品、地址和费用结构。合同的有效期为直至合同被人为取消为止，并且如果在合同周年届满前至少六周末取消，则自动延长一年。如果认证方案涵盖不同的标准/法规，则条款和条件将有所不同。

#### 5-Preparation by Operator:

操作方准备

- Prior to the scheduled Inspection, the applicant is expected to have organized all of the records, which documents that, the commodities and/or processes under review are certifiable to the corresponding standard(s). The applicant's cooperation in completing all of the forms, providing thorough and proper documentation, and being prepared, and training the personnel involved for the production of the requirements of the regulation, will greatly contribute to the timely and cost-effective completion of the entire certification process. Applicant must have a complaint handling procedure in place related to complaints received from the customers, officials, and any other sources 在预定的检查之前，申请人应整理好所有记录，以证明所审查的商品和/或过程符合相应标准。申请人在填写所有表格、提供全面和适当的文件、做好准备以及培训相关人员以符合法规要求方面的配合，将极大地有助于及时且经济高效地完成整个认证过程。申请人必须制定投诉处理程序，以处理来自客户、官方和任何其他来源的投诉。

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- Operator shall have the relevant handling system plan in place including records and documents mentioned above for ETKO's audit.  
操作方应制定相关的处理系统计划，包括上述记录和文件，以供艾拓克审核。
- Provide sufficient information to inspectors, proving that production processes comply with the relevant requirements.  
向检查人员提供足够的信息，证明生产过程符合相关要求。
- Ensure access to the facilities records and personnel, enabling the inspectors satisfactorily verify that certified production systems and processes are maintained.  
确保能够访问设施和记录和人员，能够让检查员满意地验证认证的生产系统和过程是否得到维护。
- Results of own quality assurance program.  
自身质量保证方案的结果。
- Cooperate to resolve the nonconformity and initiate the corrective action.  
合作解决不符合项并启动纠正措施。
- For all scopes that fall under the ETKO Private Standard certification, the application responsible(s) for each scope ensures that the applicant is provided with necessary standards, guides, and procedures to ensure that proper preparation could be realized.  
对于属于艾拓克私有标准认证的所有范围，每个范围的申请负责人应确保向申请人提供必要的标准、指南和程序，以确保能够实现适当的准备。

## 7. Site Inspection 现场检查

**Inspector Assignment:** A scope-approved inspector is assigned by ETKO for inspection purposes. ETKO makes sure the inspector assigned has sufficient experience and qualification for the type of production, and no conflict-of-interest issues.

检查指派：艾拓克会指派一名经批准的检查员负责检查工作。艾拓克确保指派的检查员拥有足够的经验和资质，能够胜任该类型的生产，并且不存在利益冲突问题。

### Inspection plan:

When necessary arrangements are completed, a detailed inspection plan is sent to the operator before the audit to verify the plan and prepare their operation for evaluation. Inspection detailed plan specifying the essential requirements of the Inspection is prepared according to the overview of the company's operations, which will emphasize on: a) Name of Auditor who will be attending, b) Planned Audit date, c) Name of contact person/quality coordinator of the Organization who will attend the

Auditor, d) Relation of documents that will be required and e) locations and access requirements. Task and time allocation also is specified in the resulting plan. Time to be spent for each area of inspection is to be determined according to the standard requirements and ETKO procedures to ensure adequate time is given in each area of the Inspection according to the scope of production. Task share is to be done among the inspectors according to the qualification and skill required for inspection. 检查计划：完成必要的安排后，将在审核前向操作员发送详细的检查计划，以供其验证计划并准备其操作以进行评价。  
根据公司运营概况制定详细的检查计划，其中规定了检查的基本要求，重点是：a) 将参加的审核员姓名，b) 计划的审核日期，c) 将参加审核的组织联系人/质量协调员姓名，d) 所需文件的关系和 e) 位置和访问要求。最终计划中还指定了任务和时间分配。应根据标准要求 and 艾拓克程序确定每个检查区域所花费的时间，以确保根据生产范围在检查的每个区域提供足够的时间。应根据检查所需的资格和技能在检查员之间分配任务。

The documented plan ensures the company is made fully aware of the Inspection methodology and a thorough Inspection of the production and handling system of the client to the specified requirements of the relevant standard, within the agreed time frame.

文件化方案确保公司充分了解检查方法，并在约定的时间范围内根据相关标准的规定要求对客户的生产 and 处理系统进行全面检查。

The following points are to be taken into consideration in the planning of Inspection, as appropriate: 在制定检查计划时，应酌情考虑以下几点：

- Company structure and organization. To ensure elements planned for Inspections are representative of the company's scope of production and handling processes.  
公司架构和组织。确保计划检查的要素代表公司的生产和处理过程范围。
- Client Information as described in application form, or documents within application package review.  
申请表中所述的客户信息，或申请材料包复核中的文件。
- Number and complexity of the products produced  
生产产品的数量和复杂性
- Allocation of time: Adequate time is determined according to the standard for each area of the Inspection and to ensure all the elements of the standard have been planned for the inspection.  
时间分配：根据检查每个领域的标准确定充足的时间，并确保已为检查规划好标准的所有要素。

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- Special conditions in order to gauge compliance at the time of the Inspection regarding standards or requirements in force that is relevant to the company seeking Inspection.  
为了在检查时衡量与寻求被检查的公司相关的现行标准或要求的符合性而制定的特殊条件。
- Number of nonconformities raised during the previous Inspection  
上次检查中发现的不符合数量
- Frequency of the nonconformities  
不符合发生频率
- Parallel production  
平行生产

The audit duration is needed a minimum of three hours per scope certificate, not including confirmation visits and evaluation of non-conformities after the closing meeting (where applicable). However, because of the minimum audit duration will not be sufficient for the vast majority of audits, ETKO plans the audit durations to be enough for appropriate audit and taking into account the additional requirements as required by the scheme owner.  
每份范围证书的审核时间至少需要三个小时，不包括末次会议后的确认访问和不符合情况再评价（如适用）。但是，由于最短审核时间不足以完成绝大多数审核，因此艾拓克计划的审核时间足以进行适当的审核，并考虑到计划所有者提出的额外要求。

**Organization of Applicant for Inspection**  
**被检查的申请人组织**

Prior to the scheduled inspection, the applicant is expected to have organized all of the records, which documents that, the products and/or processes under review are certifiable according to Applicable Standards. The applicant's cooperation in completing all of the forms, providing thorough and proper documentation, and being prepared, will greatly contribute to timely and cost-effective completion of the entire certification process. Refer to the related "List of Requested Documents" shared by ETKO for the corresponding certification program.  
在预定的审查之前，申请人应整理好所有记录，以证明所审查的产品和/或过程符合适用标准。申请人配合填写所有表格，提供全面、正确的文件，并做好准备，将极大地有助于及时、经济高效地完成整个认证过程。请参阅艾拓克分享的相应认证方案的相关“所需文件清单”。

**Objection for assigned inspector:** In case the operator has objection to any one of the inspectors in charge, it is requested to inform ETKO management officially, together with valid and objective proof. In case ETKO

management agrees, the personnel shall be replaced.  
对指定检查员的异议：如果操作方对任何一位负责的检查员有异议，则应正式通知艾拓克管理层，并提供有效和客观的证据。如果艾拓克管理层同意，则应更换人员。

**Acceptance of Prior Certification and Cooperation with the Other CBs & Omission of Activities from Inspection**  
**接受先前的认证与其他认证机构的合作及省略部分检查活动**

ETKO accepts the certificates issued in accordance with the related standards where the products in the supply chain are certified by other CBs, complying with the related instructions of accepted equivalent standards as given by the schemes' owners.  
艾拓克接受根据相关标准颁发的证书，其中供应链中的产品由其他认证机构认证，并遵守方案所有者给出的可接受等效标准的相关说明。

For all programs, in case a certification decision is needed for a product coming from another source certified by another CB, relevant documents are validated by ETKO, before acceptance of the product. Information to be validated are at least the following:

对于所有方案，如果需要对来自其他认证机构认证的其他来源的产品做出认证决定，则在接受产品之前，艾拓克将验证相关文件。需要验证的信息至少包括以下内容：

- Certifier has a valid accreditation  
认证机构拥有有效的认可资格
- Operator has a valid scope certificate  
操作方拥有有效的范围证书
- A valid Transaction Certificate of the product is available (if required by the relevant standard)  
拥有该产品的有效交易证书（如果相关标准有要求）
- Other information required by the corresponding certification program.  
相应认证方案所要求的其他信息。

If ETKO relies on certifications it has already granted to the client, or has already granted to other clients, to omit any activities, then ETKO will reference the existing certification(s) in its records. If requested by the client, ETKO provides justification for omission of activities with its inspection reports.

如果艾拓克依赖已授予客户或已授予其他客户的认证来省略任何活动，则艾拓克将在其记录中引用现有认证。如果客户要求，艾拓克将在其检查报告中提供省略活动的理由。

**Inspection 审查:**

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An initial inspection is conducted within a reasonable time following a determination that the applicant appears to comply or may be able to comply with the relevant standard requirements. Initial inspection may be delayed for up to 6 months in order to comply with the requirement that the inspection is conducted when the site, facilities, and activities that demonstrate compliance or capacity to comply can be observed.

在确定申请人表现得符合或可以能够符合相关标准要求后，将在合理时间内进行首次现场检查。首次现场检查最多可推迟6个月，以遵守在可以观察到符合或有能力符合规定的场地、设施和活动时进行检查的要求。

All inspections are conducted when an authorized representative of the operation who is knowledgeable about the operation is present and at a time when site, facilities, and activities that demonstrate the operation's compliance with or capability to comply with the production and handling requirements can be observed. This requirement does not apply to unannounced and semi-announced inspections.

所有现场检查均应在了解操作情况的客户授权代表在场时进行，并在可以观察到现场、设施和表明操作符合或能够符合生产和处理要求的活动的情况下进行。此要求不适用于突击和半突击现场检查。

Inspection starts with the opening meeting in which the management team of the client attends and during that the scope of the certification (products, processes, standards, legal requirements...) is reviewed, information about the inspection method, inspection plan and reporting is provided.

检查从首次会议开始，客户的管理团队将参加。在首次会议期间，复核认证范围（产品、流程、标准、法律要求等），并提供有关检查方法和检查计划的信息。

The inspection involves recording observations of the entire operation, both in writing and/or on photo. During the inspection, the inspector verifies the effectiveness and compliance of the operations, effecting the certification, to the certification requirements utilizing the relevant forms and questions as per relevant documents of ETKO:

检查涉及记录对整个操作的观察，记录包括书面和/或拍照。在检查过程中，检查员会根据艾拓克的相关文件，使用相关表格和问卷，验证影响认证的操作的有效性和符合性，以符合认证要求：

- The operation's compliance or capability to comply with the appropriate relevant Standards  
操作符合或能够符合适当的相关标准

- That the information, accurately reflects the practices used or to be used by the applicant or by the certified operation; and  
信息准确地反映了申请人或经认证的操作所使用或计划使用的实践；以及
- If applicable, that prohibited substances and/or methods have not been and are not being applied to the operation through means on which ETKO China has the right to collect samples of certified raw and processed products and test them.  
如果适用，在艾拓克有权对经认证的原料和加工产品进行取样和测试的情况下，该操作未使用且不会使用违禁物质和/或方法。
- Additionally, if applicable, ETKO China evaluates the basis for assessment of chemical, biological inputs used to produce of the final products, cleaning material and textile, is the corresponding material safety data sheet (SDS). ETKO China, where appropriate and felt necessary, includes further sources of information (s.a. additional toxicological and environmental data on specific components of the chemical, biological inputs, test reports and independent lab analyses) in the evaluation procedure.  
此外，如果适用，艾拓克评价用于生产成品及用于清洁材料和纺织品的化学品和生物投入物的评估基础，即相应的材料安全数据表（SDS）。艾拓克在认为适当和必要时，会将进一步的信息来源（如化学和生物投入物中特定成分的额外毒理学和环境数据、测试报告和独立实验室分析）纳入评价程序。
- For on-site inspections of processing facilities, the inspector evaluates the process flow. This is accomplished by observing the equipment being used, critical process control points, all ingredients added to the processed product, and all materials used in the maintenance and/or cleaning of the process equipment; and disposal of waste and other production process by-products.  
对于加工设施的现场检查，检查员会评价工艺流程。这通过观察所使用的设备、关键工艺控制点、添加到加工产品中的所有成分以及用于维护和/或清洁工艺设备的所有材料来完成；以及废物和其他生产过程副产品的处理。

**Additional Guidance for OBP Program:**

**OBP方案的附加指南：**

The Ocean Bound Plastic scheme from ZPO is a global program which is designed to be applicable globally, while respecting local regulations, local customs, and possibilities. Audits are implemented in accordance with the corresponding OBP Standard(s) in combination with

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local documents to ensure Audits are executed with consistency throughout all markets, whilst remaining relevant to the local context. Only reliable information sources as explained below for desk research should be used to obtain the required information:

ZPO的趋海塑料方案是一个全球适用的认证方案，旨在全球范围内适用，同时尊重当地法规、当地习俗和发展潜力。审核是根据相应的OBP标准与当地文件相结合实施的，以确保在所有市场中进行一致的审核，同时与当地情况保持相关。只有如下所述的可靠信息来源才能用于案头研究，以获得所需的信息：

- Published laws;  
已公布的法律；
- Internet (only reliable sources such as websites of governmental Organizations, information with academic references etc.);  
互联网（仅可靠来源，如政府组织的网站、有学术参考文献的信息等）；
- Information from the organization's quality coordinator and administrative staff or relevant staff for the subject;  
来自组织的质量协调员、行政人员或相关主题工作人员的信息；
- Relevant certification standards;  
相关认证标准；
- Other types of sources if reliability can be proven. All localization of legal related practices must be legally reviewed locally;  
如果能证明可靠性，可以使用其他类型的来源。所有与法律相关的本地化实践必须在当地进行法律审查；

For information beyond the legal realm, the Auditor should research local practice, using reliable sources. Where local documentation does not exist, the Auditor and the organization quality coordinator should agree on the local interpretation.

对于法律领域之外的信息，审核员应使用可靠来源研究当地实践。如果没有当地文件，审核员和组织质量协调员应就当地解释达成一致。

### Frequency of Inspection 检查频率

Unless a certification scheme has otherwise specific requirements, audits are conducted annually for each certified organization by using ETKO Inspection Checklists for the corresponding program.

除非认证方案另有具体要求，否则每年都会使用相应方案的艾拓克检查表对每个认证组织进行审核。

Audit Duration is determined according to ETKO procedure for the related program.

审核时长根据相关方案的艾拓克的程序确定。

Recertification audits are tried to complete no later than 60 days (but no earlier than 120 days) prior to the expiry of a scope certificate, in order to give the organization adequate time to correct non-conformities if any. 重新认证审核尽量在范围证书到期前不迟于 60 天（但不早于 120 天）完成，以便组织有足够的时间纠正任何不符合项。

Prior to each audit and before a site is added to Scope Certificate, ETKO conducts a risk assessment for the organization and its subcontractors using a Risk Assessment Form and assigns a risk level for the organization and each subcontractor.

在每次审核之前以及在将新场所添加到范围证书之前，艾拓克都会使用风险评估表对组织及其分包商进行风险评估，并为组织和每个分包商分配风险等级。

### For OBP Program 对于 OBP 方案:

It is not necessary that all parts of the Organization are audited. Sampling is applicable within each of the following categories of the Organization: 没有必要对组织的所有部分都进行审核。组织的以下每种类别都适用抽样：

- Independent Collectors (both when selling to the Organization directly or to Small Collectors in a Supplier Group);  
独立收集工（无论是直接向公司销售还是向供应商集团中的小型收集者销售）；
- Active Collection sites;  
活跃的收集站点；
- Storage and processing sites;  
存储和加工站点；
- Small Collectors;  
小型收集商；
- Sites for a Multisite Certification;  
多站点认证的站点；
- Subcontractor operations;  
分包商运营；
- Approved Treatment facilities;  
经批准的处理设施；

The sample size is the square root of the total number of sites/entities/people (applicable from 3 and beyond), rounded upwards to the following integer as following matrix. However, for the Subcontractors' category only, the total number will be first analyzed the Risk Assessment Form for OBP Program". The resulting Subcontractor group considered to present a high risk will then be sampled using the square root methodology. 样本量是现场/实体/人员总数（从3个及以上开始适用）的平方根，向上取整至以下矩阵中的下一个整

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数。但是，仅对于分包商类别，将首先使用“TI-CN 47 OBP方案风险评估表”对所有分包商进行风险分析。然后，将使用平方根方法对被认为存在高风险的分包商组进行抽样。

Number to be sampled	Sample size	Number to be selected randomly
3	2	1
4	2	1
5	3	1
10	4	1
25	5	2
50	8	2
1000	32	8

Considering that for some Organizations the application of the square root methodology may result in a sample size that is too large making the Audit too long without bringing additional value to the Auditor, the following maximum sample size limit will be applied:

考虑到对于某些组织来说，应用平方根方法可能会导致样本量过大，从而使审核时间过长而对审核员没有带来增加的价值，因此将应用以下最大样本量限制：

- Interviews with Independent Collectors: 32 interviews  
与独立收集工的访谈：32人
- Collection sites: 5 sites  
收集站点：5个站点
- Storage and processing sites: 5 sites  
储存和处理站点：5个站点
- Small Collectors operations: 6 Small Collectors  
小型收集商：6个小型收集商
- Sites for a Multisite Certification: 6 sites  
多站点认证的现场：6个现场
- Subcontractors operations: 6 Subcontractors  
分包商运营：6个分包商
- Approved Treatment facilities: 6 facilities  
批准的处理设施：6个设施

The Auditor is allowed to increase this sample size during Audit only in cases where non-conformities are reasonably suspected, and that further interviews or visits are necessary to confirm the possible non-conformities. 仅当有合理怀疑存在不符合项，且需要进一步访谈或访问以确认可能存在不符合项的情况下，审核员才可以在审核期间增加样本量。

### Audit Types 审核类型

#### On-Site Audits 现场审核

When an on-site audit is conducted, the entire audit team is physically present at the facility being audited. An on-site audit may replace a hybrid or remote audit. 进行现场审核时，整个审核团队都会亲自到受审核的设施。现场审核可以取代结合或远程审核。

#### 8.3.2. Hybrid Audits (Supervised Audit) 结合审核（监督审核）

Where it's permitted by the corresponding certification program under specific circumstances and conditions, a hybrid Audit is allowed in order to get an organization certified or remain certified.

在特定情况和条件下，如果相应的认证方案允许，则可以进行混合审核，以便使组织获得认证或保持认证状态。

When a hybrid audit is conducted, the audit team includes at least one person who is physically present at the facility being audited and at least one person who is participating remotely.

当进行混合审核时，审核团队至少包括一名亲自在被审核设施现场的人员和一名远程参与的人员。

A hybrid audit may replace a remote audit.

混合审核可以替代远程审核。

The hybrid audit is conducted jointly by a qualified lead auditor who is auditing remotely, and by an on-site representative of ETKO China.

混合审核由一名合格的主任审核员远程参与和艾拓克的现场代表共同进行。

ETKO conducts an advance review with the organization to ensure that there is sufficient internet connectivity available to conduct a hybrid audit, that necessary technologies are able to work, and that no other barriers to a hybrid audit are present.

艾拓克与组织进行预先审查，以确保有足够的互联网连接来进行混合审核，必要的技术能够正常工作，并且不存在其他阻碍混合审核的障碍。

ETKO ensures that the on-site representative:

艾拓克确保现场代表：

- is a qualified auditor with ETKO China (for any standard) or an auditor trainee for the standard being audited;  
是艾拓克的合格审核员（针对任何标准）或正在接受被审核的标准的实习审核员；
- is independent of the organization being audited;  
与被审核的组织保持独立；

If necessary the on-site representative:

如有必要，现场代表应：

- acts as a language interpreter for the lead auditor;  
为主任审核员担任语言翻译；
- conducts auditing tasks under the lead auditor's supervision, if appropriate to their qualifications.  
在主任审核员的监督下，根据其资格条件执行审核任务。

The lead auditor is present remotely for the entire audit and maintains responsibility for conformity to hybrid audit requirements.

主任审核员远程参与整个审核过程，并负责确保符合混合审核的要求。

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The on-site representative ensures that the audit procedure is followed under the lead auditor's direction (e.g. areas of the facility are not missed on the site tour, and management representatives are not present for worker interviews).

现场代表确保在主任审核员的指导下遵循审核程序（例如，在现场巡查中不遗漏设施的任何区域，工人访谈时组织的管理层代表不在现场）。

A live video, including a full video tour of the site, is used throughout the hybrid audit (i.e. video calling or similar technology), where the on-site representative is responsible for managing the video device.

在整个混合审核过程中，都会使用实时视频（即视频通话或类似技术），包括对整个现场的视频巡查，现场代表负责管理视频设备。

**Specific instructions for OBP Program about Hybrid Audits (Supervised Audits):**

关于混合审核（监督式审核）的OBP方案特别指引：hybrid Audits (Supervised Audit) can be carried out by ETKO, in agreement with the applicant Organization, when ETKO does not have a local/national OBP approved Auditor to carry out the on-site Audit. In that case, it is required that the local/national Auditor available is qualified to audit other environmental or social standards that follow ISO 17065 accreditation. Hybrid Audits (Supervised Audit) are considered fully equivalent to an on-site Audit by a qualified Auditor.

当艾拓克在当地/国家还没有已批准的OBP审核员可以进行现场审核时，经与申请组织协商，艾拓克可以进行混合审核（监督式审核）。在这种情况下，要求当地/国家审核员有资格审核遵循ISO 17065认可的其他环境或社会标准。混合审核(监督式审核)被认为完全等效于由合格审核员进行的现场审核。

**Remote Audits 远程审核**

Where it's permitted by the corresponding certification program under specific circumstances and conditions, a Remote Audit is allowed in order to get an organization certified or remain certified.

在特定情况和条件下，如果相应的认证方案允许，则可以进行远程审核，以便使组织获得认证或保持认证状态。

When a remote audit is conducted, the audit team is participating in the audit remotely rather than being present on-site. Remote Audits require however full compliance to the applicable Standard(s) and do not imply a lesser compliance or verification level.

当进行远程审核时，审核团队会远程参与审核，而不是亲自到现场。然而，远程审核需要完全符合适用的标准，并不意味着符合性或验证水平的降低。

For processing facilities, the remote audit is conducted by an auditor who has visited the site in the past, where possible. Where this is not possible, the auditor is briefed in advance by an auditor who has visited the site in the past.

对于加工厂来说，远程审核通常由过去访问过该工厂的审核员进行，如果可能的话。如果不可能，则由过去访问过该工厂的审核员提前向审核员进行简要介绍。

ETKO conducts an advance review with the organization to ensure that there is sufficient internet connectivity available to conduct a remote audit, that necessary technologies are able to work, and that there are no other barriers to conducting a remote audit are present.

艾拓克与组织进行预先审查，以确保有足够的互联网连接来进行远程审核，必要的技术能够正常工作，并且不存在其他阻碍远程审核的障碍。

For facilities with physical possession of claimed material, a live video, including a tour of the site, is used throughout the remote audit (i.e. video calling or similar technology).

对于物理性拥有认证材料的设施，在整个远程审核过程中都会使用实时视频（即视频通话或类似技术），包括对整个现场的视频巡查。

Audits of sites without physical possession of claimed materials are conducted as remote audits. If the site is not the main location, evaluation is limited to tasks directly performed by the site.

对没有物理性拥有认证材料的场所的审核进行远程审核，如果该场所不是主场所，评价仅限于该场所直接执行的任务。

**Specific instructions for OBP Program about Remote Audits:**

**关于远程审核的OBP方案具体说明：**

Remote Audits are authorized for low risk level Audits (refer to ANNEX I of OBP-REM-GUI), subject to a risk evaluation by ETKO China. The risk evaluation shall be conducted using "TI-CN 47 Risk Assessment Form for OBP Program" to decide if a remote audit is applicable or no. Except for OBP Plastic Producers and Users Standard and OBP Brand Standard, if Subcontractors are used by the Organization, these will need to be visited even if the Organization's Audit is considered low risk.

低风险级别的审核可以批准进行远程审核（请参考OBP-REM-GUI的附件I），但需经过艾拓克的风险评估。风险评估应使用“OBP方案 TI-CN 47风险评估表”来决定是否适用远程审核。除了OBP塑料生产商和用户标准及OBP品牌标准外，如果组织使用了分包商，即使组织的审核被认为是低风险，也需要对这些分包商进行访问。

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Remote Audits are also authorized for Organizations whose Audits are classified as medium risk level Audits (refer to ANNEX I of OBP-REM-GUI) in the presence of Exceptional Conditions, even for initial certification Audits. For OBP Neutralization Services Provider Standard, the Approved Treatment section still requires an on-site site visit even if the Organization's Audit is considered low risk and conducted remotely. After a Remote Audit has taken place, a certification decision can be taken, and a yearly valid certificate can be issued. However, the certificate's annual validity will be conditioned to the fact that an on-site visit focusing on the requirements of the standard that are less easily assessed remotely, is carried out within a maximum time frame of 2 months from termination of the Exceptional Condition. If the site visit cannot be performed before the next certification cycle is due, the certification shall be suspended at the anniversary date, and will only be renewed after an on-site Audit is feasible and performed.

在存在特定的例外条件的情况下，对于被归类为中等风险级别审核(参见OBP-REM-GUI附录I)的组织，即使是初始认证审核，也可以授权进行远程审核。对于OBP中和服务提供商标准，即使组织的审核被认为是低风险的，并且远程进行，批准的处理设施部分仍然需要现场访问。在进行远程审核之后，可以做出认证决定，并可以颁发年度有效证书。然而，该证书的年度有效性将取决于以下事实：在例外条件终止后最多2个月内，要对不易通过远程评价的标准要求部分进行现场访问。如果不能在下一个认证周期之前进行现场访问，则认证应在周年日暂停，只有在现场审核可行并执行后才可更新证书。

Remote Audits are not authorized for Organizations whose Audits are classified as high-risk level Audits (refer to ANNEX I of OBP-REM-GUI).

对于审核被归类为高风险级别的组织（请参考OBP-REM-GUI的附件I），不允许进行远程审核。

The ETKO China's Risk Assessment results shall be sent to ZPO for approval before ETKO China makes a formal offer specifying the feasibility of a remote audit to the applicant Organization.

艾拓克的风险评估结果应在艾拓克向申请组织发出具体说明远程审核可行性的正式报价之前，发送给ZPO以获得批准。

Scope Certificates issued by Certification Bodies after Remote Audits need to include the specification that the Audit was done remotely.

在远程审核后由认证机构颁发的范围证书上需要包括审核是远程进行的这一说明。

### Semi-Announced and Unannounced Audits 半突击和突击审核

ETKO conducts semi-announced audits and unannounced audits in accordance with the requirements from the corresponding certification programs or in case ETKO China deems necessary based on the identified non-conformities with the organizations.

艾拓克根据相应认证方案的要求或在艾拓克根据识别到的组织的不符合认为必要时，进行半通知审核和不通知审核。

Semi-announced and unannounced audits are conducted in addition to initial and recertification audits and are not used in place of the annual recertification audit of a site. 除了初次认证和再认证审核外，还会进行半通知和不通知审核，但它们不会取代对现场的年度再认证审核。

For unannounced audits, the site does not receive any advance notice of the auditor's arrival at the site.

对于不通知的审核，现场不会收到审核员到达现场的任何预先通知。

For semi-announced audits, the site receives two business days' notice of the auditor's arrival at the site.

对于未通知的审核，现场不会收到审核员到达现场的任何预先通知。

When selecting sites for semi-announced and unannounced audits, ETKO considers the following:

在选择进行半通知和不通知审核的现场时，艾拓克会考虑以下因素：

- The risk level assigned to sites, with priority to higher-risk sites; 分配给现场的风险等级，优先考虑高风险现场；
- Obtaining a representative sample in terms of standard, geography, and processing categories; and 在标准、地理位置和处理类别方面获得具有代表性的样本；以及
- Prioritizing sites where there have been complaints or where there are other concerns with conformity. 优先考虑那些存在投诉或符合性方面存在其他问题的现场

During a semi-announced or unannounced audit, ETKO, at minimum, evaluates the following as applicable to the site: 在半通知或不通知的审核过程中，艾拓克至少会对以下适用于现场的内容进行评估：

- Volume reconciliation; 总量平衡对账；
- Purchasing documentation; 采购文件；
- Physical handling and inventory of claimed materials (inputs, processing, and outputs); 认证材料的实物处理和库存（投入、加工和产出）；
- Transport and sale;

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	<b>Information for ETKO Certification Services of Private Standards</b> <b>OBP Program / Textiles Care Labelling Conformance Program</b> 艾拓克私有标准认证服务信息 - 趋海塑料方案/纺织品维护标签符合性方案	Doc. Nr	GP-CN 33
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运输和销售；

- On-product claims relating to the Standard which are present on-site, including when labelling is done on behalf of a customer;  
现场存在的与标准相关的产品声明，包括认证标签是代表买方客户进行应用的；
- Any areas where a non-conformity was issued during the previous full audit;  
在上一次全面审核中发现的不符合项所在的任何区域；
- Any areas where ETKO China has identified additional risks for the specific site, including risks that have been identified through complaints or which have been noted to ETKO China by the scheme owner or the accreditation body; and  
艾拓克已经针对特定地点识别出哪些额外风险，包括通过投诉识别出的风险，或由方案所有者或认可机构向艾拓克指出的风险；以及
- ETKO China checks financial records of certified input and output materials.  
艾拓克会检查认证的投入和产出材料的财务记录。

### 8. Non-conformities & Corrective Actions 不符合项及纠正措施

ETKO promptly notify the operator through a formal email within two working days after audit date of any non-conformity (called "NONC") to be resolved in order to comply with applicable certification requirements. 艾拓克将在审核日期后的两个工作日内通过正式电子邮件及时通知操作方任何不符合项（称为“NONC”）需要解决，以符合适用的认证要求。

#### For OBP Program 对于 OBP 方案,

Any non-conformities found during the Audit will need to be addressed and closed by the Organization if they want to get certified to the relevant applicable OBP certification Standard. Organizations with non-conformities found during Audit will have an extra period of 60 calendar days from closing meeting audit date to correct, train, prepare and submit enough documentary evidence to the CB to show compliance with the nonconformities identified during the Audit.

如果组织希望获得相关适用的 OBP 认证标准的认证，那么在审核过程中发现的任何不符合项都需要由组织解决并关闭。在审核中被发现不符合项的组织，将获得审核日期的末次会议后 60 个日历天的额外时间来纠正、培训、准备并向认证机构提交足够的书面证据，以证明其就审核期间发现的不符合项的符合性。

If NCs were registered during the Audit, but information

to close them was sent to ETKO within the allowed given time frame (60 calendar days from closing meeting audit date), and it is revised and approved by the Auditor and certifier, certifier can also proceed with the issuance of a Scope Certificate for the applicant Organizations. 如果在审核过程中发现了不符合项，但在允许的时间范围内（审核日期末次会议后的 60 个日历天内）向艾拓克提交了关闭这些不符合项的信息，并且这些信息已经过审核员和认证员的复核和批准，则认证员也可以继续为申请组织颁发范围证书。

If the certifier finds that the NCs were not addressed in the given time frame (60 calendar days from closing meeting audit date), or there is insufficient information to make a positive decision, the certifier shall notify the client and communicate the negative decision to grant certification and identify the reasons for it.

如果认证员发现不符合项未在规定的框架内（审核日期末次会议后的 60 个日历天内）得到解决，或者信息不足以作出正面决定，则认证人员应通知客户，传达拒绝认证的负面决定，并说明原因。

- In case the Organization already has a certificate, and no sufficient evidence is submitted before the 60 calendar days deadline from renewal Audit date the certificate will be suspended for a maximum period of three months in which the Organization can provide evidence for closure of non-conformities. During suspension, Organizations cannot make any certified commercial transactions.  
如果组织已经持有证书，并且在再认证审核日期后的 60 个日历天内未提交充分的证据，则证书将被暂停，最长暂停期为三个月。在此期间，组织可以提供关闭不符合项的证据。在暂停期间，组织不能进行任何有关认证的商业交易。
- If the non-conformities are not closed during suspension period, the certificate is finally withdrawn and their presence as certified Organization in the ZPO [www.obpcert.org](http://www.obpcert.org) webpage eliminated until compliance with all requirements is verified through a new Audit.  
如果在暂停期间不符合项仍未得到关闭，则最终将撤销证书，并从 ZPO 网站 [www.obpcert.org](http://www.obpcert.org) 上删除其作为认证组织的存在，直到通过新的审核验证其符合所有要求为止

### 9. Certification Decision 认证决定

Certification decisions could be taken by ETKO only when the client passes the inspection and review process successfully including financial obligations. The decision on certification is given by a qualified certifier who is employed by ETKO. ETKO is responsible for,

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and will retain authority for, its decisions relating to certification based on all information related to the evaluation, its review, and any other relevant information. The certificate is valid through the issue date for a year if none otherwise stated for specific programs.

仅当客户成功通过检查和复核过程并履行了财务义务时，艾拓克才能做出认证决定。

认证决定由艾拓克雇用的胜任认证员给出。艾拓克对其基于评价、复核和其他相关信息所做出的认证决定负责并保持权威。

除非特定方案另有说明，否则证书自颁发之日起有效期为一年。

The inspection realized for certification purposes does not preclude the operator from its legal responsibilities.

为认证目的而进行的审核并不免除操作方的法律责任。

The operator has the right to demonstrate the certificate on his premises, in marketing, or in any advertising media. The certificate shows the scope of the certification, the status of the products, and identifying relevant statutory requirements.

操作方有权在其经营场所、营销或任何广告媒体上展示证书。证书显示了认证范围、产品状态并确定了相关的法定要求。

In case of improper use of certificate and/or logo, nonconformity is raised, and the operator is requested to take corrective action. Such nonconformity may cause the suspension or withdrawal of the certificate.

如果证书和/或标识使用不当，则会被发起不符合，操作方将被要求采取纠正措施。此类不符合可能导致证书被暂停或撤销。

### Changing the Scope of OBP Program Certified

#### Organizations:

#### 变更OBP方案认证组织的范围:

Certified Organizations may experience a change in the scope of their activities after their audit and certificate was issued, and before the next annual audit takes place. ETKO is allowed to issue an updated Scope Certificate (SC) during its validity period to reflect the Organization's evolution upon receipt of Documentary Evidence with no need to carry out a new on-site audit only in the following cases:

在审核和证书颁发后且在下一年度审核之前，认证组织的活动范围可能会发生变化。艾拓克允许在以下情况下，在证书有效期内颁发更新的范围证书

(SC)，以反映组织的演变，而无需进行新的现场审核，只需收到书面证据即可：

- Addition of or changes to the certified products that

use the same collection, transformation, recycling, logistics that were audited.

添加或更改使用已经审核的相同收集、转化、回收、物流流程的认证产品。

- Increase on the following categories according to the following limits:

根据以下限制增加以下类别：

Category	Maximal % increase of items <sup>7</sup>
Independent Collectors	30%
Active <sup>8</sup> Collection sites	25%
Storage and processing sites	0%
Small Collectors	20%
Sites for a Multisite Certification	0%
Subcontractor operations	15%
Approved Treatment facilities	0%

- Decrease of the number of items of the sampled categories listed in above table as long as not reduced to a number that affects the project capacity to deliver.

减少上表中选录类别的项目数量，但减少后的数量不得影响项目的交付能力。

### 10. Neutralization Certificate specific for OBP-NEU-STD OBP中和服务供应商标准专用的中和证书

Neutralization Certificates are documents issued by ETKO upon the request of an Organization certified to OBP-NEU-STD at ETKO and after ETKO's approval on the submitted Neutralization Certificate Request form and its associated documentary Evidences, that prove to third parties that the Organization has effectively removed from the environment a given weight of Non-Commercially Recyclable OBP within the requirements of this Standard, and corresponding OBP Credits can be issued.

OBP中和证书是艾拓克根据通过艾拓克认证的组织的请求，并在艾拓克批准其提交的《中和证书请求表》及其相关书面证据后颁发的文件，这些文件向第三方证明该组织已根据本标准的要求有效地从环境中移除了既定重量的非商业可回收OBP，并可以颁发相应的OBP积分信用证。

General criteria for Neutralization Certificate request and issuance:

中和证书申请和颁发的一般准则：

- Organizations shall request ETKO for a Neutralization Certificate when they want to issue and sell OBP Credits. Organizations may make financial arrangements with OBP Credit buyers to receive upfront payments, but OBP Credits can only be issued once evidence of the work done and conformity by ETKO has been verified; 当组织希望发行和销售OBP积分时，应向艾拓克申请中和证书。组织可以与OBP中和积分的买家预付款的财务安排，但只有在艾拓克验证了其完成的工作和符合性后，才能发行OBP积分；

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- Neutralization Certificates can only be issued by ETKO to the organization that ETKO has delivered the Neutralization Services Provider Scope Certificate to;  
中和证书只能由艾拓克颁发给艾拓克已向其颁发中和服务提供商范围证书的组织;
- Organizations shall apply for the issuance of a Neutralization Certificate to ETKO by submitting completely filled TI-CN 07 F 01 OBP NEUTRALIZATION CERTIFICATE REQUEST FORM and the necessary Documentary Evidence (proof of collection and Approved Treatment) to support the elements claimed in the Neutralization Certificate;  
组织应通过提交填写完整的《TI-CN 07 F 01 OBP中和证书申请表》以及支持中和证书中所述要素的必要书面证据（收集证明和经批准的处理），向艾拓克申请颁发中和证书;
- Before ETKO can issue a Neutralization Certificate, ETKO must submit it to Zero Plastic Oceans for its validation, serialization of OBP Credits, and accountability in a public registry;  
在艾拓克能够颁发中和证书之前，必须将其提交给Zero Plastic Oceans进行验证、分配OBP积分的序列号和公共登记册中入账;
- Organizations cannot sell Neutralization services for a greater weight than the TAOBPW declared in their Scope Certificate. This means they cannot request issuance of Neutralization Certificates, and corresponding OBP Credits, for a greater weight either;  
组织不能销售比其范围证书中声明的TAOBPW更大的中和服务重量。这意味着他们也不能申请颁发更大重量的中和证书和相应的OBP积分;
- Organizations must have annual summaries of issued Invoices for OBP Credit sales (with corresponding issued Neutralization Certificates), and these must imperatively match annual summaries.  
组织必须拥有OBP积分销售的发票的年度汇总（附有已颁发的相应中和证书），且这些汇总必须严格匹配。

### 11. Use of Logo and Certificate 标志及证书的使用

A guiding document is provided for the operator defining the rules to be followed in using the certificate and logo. The operator should send its certification logo samples to ETKO for approval prior to use. This includes hangtags, printed labels, sewn labels, and online claims.  
为操作方提供的指导文件，其中规定了使用证书和徽标时应遵循的规则。操作方应在使用前将认证徽标样

品发送给艾拓克审批。这包括吊牌、印刷标签、缝制标签和在线声明。

### 12. Surveillance 监督

Maintenance of the certificate depends on the operator's performance to comply with the relevant requirements of standards and statutory documents. ETKO shall ensure compliance with planned surveillance visits.  
证书的维护取决于操作方遵守标准和法定文件相关要求的表现。艾拓克应确保遵守计划的监督访问。

Surveillance visits are planned during the initial inspection preferably and are informed to the operator sufficient time before it is conducted. The periods for surveillance inspections are determined during the initial inspection. 最好在初次检查期间规划监督访问，并在进行前提前通知操作方。监督检查的期限在初次检查期间确定。

The operator shall maintain compliance with relevant regulations and requirements to ensure the maintenance of its certificate. NCR reported during the surveillance inspections are evaluated after corrective actions.  
操作方应遵守相关法规和要求，以确保其证书的维持。监督检查期间报告的不符合将在采取纠正措施后进行评价。

### 13. Changes in the Operator's System 操作方系统的变化

The operator shall inform ETKO in case of change in the production system and processes (such as changes in location, additional units, name, shareholders, and scope...) in time, formally in writing. ETKO shall evaluate the effect of the changes on the certification and determine if a special surveillance inspection is required or not.  
生产体系过程发生变更时（例如位置、附加区域、名称、股东、范围等的变更），客户应及时以书面形式正式通知艾拓克，并更新生产体系规划。艾拓克将评价变更对认证的影响，并确定是否需要进行特殊监督检查。

In case it is determined that a special surveillance visit is required until the special inspection visit is conducted, the ETKO logo or any other document cannot be used by the operator and none of the products can be labelled as certified. The operator is informed by ETKO.  
如果确定需要进行特殊监督检查，在进行特殊检查访问之前，客户不能使用艾拓克标志或任何其他认证文件，并且任何产品都不能贴上认证标签。艾拓克将通知客户该规则。

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In case it is determined that a special surveillance visit is required the time planning is done by the ETKO inspection division and charged to the operator on the fee stated in the contract following the visit.

如果确定需要进行特殊的监督访问，则由艾拓克检查部门安排时间，并在检查前按合同中规定的费用向客户收取费用。

In case there are changes limited to the production system and not effective on certification, or if there are changes in documentation, these shall be subject to review in the next inspection visit by the inspector.

如果变更仅限于不影响认证的生产体系，或文件有变更，检查员将在下次检查时进行审核。

NOTE: All the changes in the production and documents shall be kept by the operator for the inspector to be a reference.

注：所有生产和文件的变更记录应由客户保留，以供检查员参考。

**14. Suspension, Withdrawal, and Cancellation of the Certificate. 证书的暂停、撤销和取消。**

ETKO reserves its right to suspend, withdraw, cancel, or change the scope of the certificate during the certification period.

艾拓克保留终止、缩小、暂停或撤销认证的权利。

Suspension, withdrawal, cancel is caused by the operator: 因操作方原因导致的暂停、撤回、取消：

- If the corrective actions are not taken as planned for the nonconformity found and reported, in a timely manner as mutually agreed by ETKO and operator.  
如果未按照操作方和客户同意的计划针对发现和报告的不符合情况采取纠正措施。
- Postponing the surveillance inspection  
推迟监督检查
- Not complying with the requirements of relevant standards and statutory requirements.  
不符合相关标准和法定要求的。
- Misuse ETKO Logo and certificate  
滥用艾拓克标志和证书
- Not complying with the contract between ETKO and the operator  
不遵守艾拓克与操作方之间的合同
- Acting in a way harming ETKO's prestige in the sector or aiming to act so.  
采取损害艾拓克在该领域声誉的行为或试图采取此类行为。
- Not paid fees in due time

未按时缴纳费用

In such cases, ETKO shall raise a nonconformity report to the operator and request corrective action in an acceptable time period. If the operator does not take corrective action on time ETKO shall suspend or withdraw or cancel the certificate; the operator shall return the certificate back to ETKO as determined also by the contract.

在这种情况下，艾拓克应向操作方提出不符合报告，并要求在可接受的时间内采取纠正措施。如果操作方未及时采取纠正措施，艾拓克将暂停、撤回或取消证书；操作方应按照合同规定将证书退还给艾拓克。

ETKO makes public its decision about the operator suspending, withdrawing, or cancelling the certificate at its website.

艾拓克在其网站上公布有关操作方暂停、撤销或取消证书的决定。

In cases, the operator itself decides to stop the certification for any reason during the certification period ETKO shall cancel the certificate.

如果操作方在认证期间因任何原因自行决定停止认证，艾拓克将取消该证书。

**Specific requirements for OBP Program: OBP 方案的具体要求：**

In case the Organization already has a certificate, and no sufficient evidence is submitted before the 60 calendar days deadline from renewal Audit date the certificate will be suspended for a maximum period of three months in which the Organization can provide evidence for closure of non-conformities. During suspension, Organizations cannot make any certified commercial transactions. If the non-conformities are not closed during suspension period, the certificate is finally withdrawn and their presence as certified Organization in the ZPO www.obpcert.org webpage eliminated until compliance with all requirements is verified through a new Audit.

如果组织已经持有证书，并且在再认证审核日期后的60个日历天内未提交充分的证据，则证书将被暂停，最长暂停期为三个月。在此期间，组织可以提供关闭不符合项的证据。在暂停期间，组织不能进行任何有关认证的商业交易。如果在暂停期间不符合项仍未得到关闭，则最终将撤销证书，并从ZPO网站 www.obpcert.org 上删除其作为认证组织的存在，直到通过新的审核验证其符合所有要求为止。

The following general and specific cases result in banning the Organization from participating in the certification scheme for a year:

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下列一般和具体情况将导致组织被禁止参与认证方案一年::

- i). **General Cases for all OBP certification Standards:**  
适用所有OBP认证标准的一般情况:
  - The Organization is found to be working with children<sup>5</sup> or apply unfair working conditions.  
组织被发现童工或采用不公平的工作条件。
  - Waste produced by the Organization is unmanaged causing Plastic waste to become OBP.  
组织产生的废物没有得到管理, 导致塑料废物成为OBP。
- ii). **OBP Collection Organization Standard**  
收集组织标准
  - The Organization has collected (or sourced) plastic that does not correspond to the definition of Ocean Bound Plastic and sold non-compliant OBP for Recycling purpose.  
组织已收集(或采购)不符合趋海塑料定义的塑料, 并出售不符合规定的OBP用于回收目的。
- iii). **OBP Recycling Organization Standard OBP回收组织标准**
  - The Auditor is unable to reconcile with the provided documentation weight of OBP Input with OBP Output, or the sold weight is significantly superior (weight difference is neatly above any errors given by weight measurement tolerances or rounding up errors for example).  
提供的OBP输入和OBP输出重量的文件不允许审核员进行总量核对, 或者销售的重量明显超出(如重量差异远远超过重量测量公差或四舍五入误差)。
- iv). **OBP Neutralization Services Provider Standard OBP中和服务提供商标准**
  - The Organization cannot supply sufficient Documentary Evidence to demonstrate reconciliation between OBP Credits sold and collected and correctly treated OBP.  
组织无法提供足够的文件证据来证明销售和收集的OBP积分与正确处理的OBP之间的对账。
  - The Organization has sold OBP Credits based on the collection of plastic or other waste that does not correspond to the definition of Ocean Bound Plastic.  
组织根据收集的不符合趋海塑料定义的塑料或其他废物出售OBP积分。
  - The Organization has sold OBP Credits for greater weight than the registered OBP collected and treated.  
组织出售的OBP积分的重量大于收集和处理的注册OBP。
  - The Organization has sold OBP Neutralization services/OBP Credits without properly treating the Non-Commercially Recyclable OBP (absence of treatment, dumping or treatment in a facility that is

- not an Approved Treatment).
- 组织出售的OBP中和服务/OBP积分未对非商业性可回收OBP进行适当处理(未进行处理、倾倒或在未经批准的处理设施中进行处理)。
- v). **OBP Plastic Producer and User Standard / OBP塑料生产商和用户标准**
  - The Auditor is unable to reconcile the weight of plastic used for the OBPN Scope and the OBP Credits purchased with the provided documentation.  
审核员无法根据提供的文件核对用于OBPN范围的塑料重量和购买的OBP积分。
  - The Auditor finds the sold weight of OBP Neutral/Positive products is significantly superior (weight difference is neatly above any errors given by weight measurement tolerances or rounding up errors for example).  
审核员发现OBP中和/积极产品的销售重量明显超出(如重量差远远超过重量测量公差或舍入误差等任何误差)。
- vi). **Social+ OBP Component 社会责任+ OBP组件**
  - Organization is found to exclude ICs where Child Labor cases are identified instead of working on possible solutions to remediate the situation. Child Labor cases as employees in the premises of the Organization is however not tolerated and banning from the program is to be applied.  
组织被发现, 在发现童工案件时, 组织会排除IC, 而不是努力寻找可能的解决方案来补救这种情况。然而, 组织不容忍在场所内雇用童工的情况, 并禁止其参与该方案。

In case of recidivism of any of the general or specific cases mentioned above, the Organization will be permanently banned from participating in the program. Recidivism is occurring when the Organization after being banned for a year is admitted again in the program and commits again at least one of the above-mentioned faults, causing the Organization to be definitely excluded.

如果再次犯下上述任何一般或特定情况, 该组织将被永久禁止参与该认证方案。如果该组织被禁止一年后再次被允许参与该认证方案但又再次犯下上述至少一项错误, 则定义为再次犯, 将导致该组织被明确永久禁止参与该认证方案。

#### 15. Appeals and Complaints 申诉和投诉 <sup>4.5.d</sup>

In case the operator wishes to raise objections to any decision of ETKO about certification, or in case of a dispute between the parties the appeal or corrective actions procedures shall be followed. The operator shall apply to ETKO management formally in writing.  
如果操作方希望对艾拓克关于认证的任何决定提出异

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议，或者双方发生争议，则应遵循上诉或纠正措施程序。操作方应以书面形式正式向艾拓克管理层提出申请。

**16. Confidentiality 保密性**

Except where national law or accreditation bodies require, ETKO shall keep confidential and shall not disclose to third parties the information about the operator obtained during the contract and the certification process unless the operator permits in writing not to do so.

除非国家法律或认可机构要求，否则艾拓克对合同和认证过程中获得的客户信息保密，不会向第三方披露，除非客户书面允许不这样做。

The operator shall be informed of the information provided when required by the law and that at all other times that information not be disclosed without the consent of the supplier.

客户应在法律要求时被告知所提供的信息，并且在未经客户同意的情况下不得披露所有其他信息。

The operator accepts the verification and inspection activities of the accreditation bodies by signing the contract with ETKO for certification services. No fee is charged for the inspection of accreditation bodies.

客户通过与艾拓克签订认证服务合同，接受认可机构的验证和检查活动。认可机构的检查不向客户收取任何费用。

**17. Extension and Renewal of Certification 认证延期和更新**

The operators are regularly reevaluated in order to verify that they maintain their system in compliance with the standard and that the corrective actions are implemented effectively. For the extension of the certification, the operator is required to renew the contract and start the application process.

操作方会定期接受重新评价，以验证其是否维持其系统符合标准，以及纠正措施是否得到有效实施。若要认证续期，操作方需要续签合同并启动申请过程。

Renewal of certification must be annual for all programs unless a specific certification program has otherwise requirements.

除非特定认证方案另有要求，否则所有方案的认证都必须每年续签。

Operators shall continue to be met for certification criteria and apply annually for continued certification.

ETKO evaluates the application documents eventually on-site inspection follows. Each location of the operation is verified.

操作方应继续满足认证标准，并每年申请继续认证。艾拓克评估申请文件，最终进行现场检查。每个操作地点都经过验证。

Operators shall pay the certification fees deemed by ETKO. When the operator does not renew the certification ETKO formally notifies the operator that the certification is withdrawn, and no longer valid.

操作方应支付艾拓克认定的认证费用。

当操作方不对认证续期时，艾拓克将正式通知操作方认证已撤销，不再有效。

**20. Exchange of Information 信息交换**

Where an operator is certified also by other Certification Bodies within the same scope, ETKO seeks information exchange with the other Certification Bodies involved misuse of certificates.

当操作方也获得同一范围内其他认证机构的认证时，艾拓克将寻求与其他认证机构交换涉及证书滥用的信息。

ETKO may, if necessary, exchange information with other Certification Bodies and/or authorities to verify the authenticity of the information.

如有必要，艾拓克可能会与其他认证机构和/或当局交换信息，以验证信息的真实性。

Where ETKO operators and/or their subcontractors change their control body; the change is notified without delay to the competent authority by ETKO.

当艾拓克操作方和/或其分包商更换其认证机构时，艾拓克会立即将这一变化通知主管机构。

ETKO, once take a file request from a CB, should follow the situation to understand whether the customer still want to migrate and remind the customer to sign a migration declaration by ETKO if they still want to migrate. 艾拓克一旦收到其他认证机构的文件请求，应跟踪情况以了解客户是否仍希望迁移，并提醒客户如果仍希望转换机构，则签署艾拓克的机构转换声明。

ETKO hands over the relevant elements of the control file of the operator concerned and the reports and non-conformities to the subsequent control body.

艾拓克将相关操作方控制文件的相关要素以及报告和不符合情况移交给后续认证机构。

In case ETKO accepts a new operator coming with non-conformities; ETKO ensures that non-conformities noted

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in the report of the previous control body have been or are being addressed by the operator.

如果艾拓克接受出现不符合情况的新操作方；艾拓克确保操作方已经或正在解决前一认证机构报告中指出的不符合情况。

Where the operator withdraws from the control system, ETKO without delay, informs the related Standard organization.

如果操作方退出认证体系，艾拓克会立即通知相关标准组织。

Where ETKO finds irregularities or infringements affecting the certification status of products, ETKO without delay informs the standard organization.

如果艾拓克发现影响产品认证状态的违规行为或侵权行为，艾拓克会立即通知标准组织。

**Abbreviations 缩写：**

**SC: Scope Certificate**

**SC:范围证书**

**TC: Transaction Certificate**

**TC:交易证书**

**UPDATES TABLE 表格更新**

SECTION CONTENT	SECTION NR	REV. NR	REV. DATE
Document Creation	Full Document	00	06.09.2024
Adding Chinese Translations and changing some typos; combining Textiles Care Labelling Conformance program into the procedure.	Full contents	01	30.09.2024

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