

安骐认证服务（上海）有限公司

Anqi Certification Service (Shanghai) Co., Ltd.

授予、保持、更新、扩大、缩小、暂停、撤销和 注销认证的管理程序

**Management procedures for granting, maintaining, updating, expanding,
restricting, suspending, revoking, and canceling certifications**

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1 目的 Purpose

为确保对获证组织的资格有效管理特制定本程序。

Establish the procedures to ensure the effective management for the qualifications of certified organizations.

2 范围 Scope

本文件对获证客户的授予、保持、扩大、缩小、更新、暂停和撤销认证的管理过程做出规定, 适用于公司发出的所有认证证书。

This document stipulates the management procedures of the certified client for granting, maintaining, expanding, reducing, updating, suspending, and withdrawing certifications. It applies to certificates issued by AQC.

3 管理职责 Responsibilities

a) 总经理或其授权人员负责批准授予、保持、扩大、缩小、更新、暂停和撤销认证范围的决定。此决定不得外包。

The general manager or authorized personnel is responsible for approve of granting, maintaining, expanding, reducing, updating, suspending, and withdrawing the scope of the certification. This decision cannot be outsourced.

b) 技术部负责对获证客户的授予、保持、扩大、缩小、更新、暂停和撤销认证范围作出决定。

The technical department is responsible for making decisions on the granting, maintaining, expanding, reducing, updating, suspending, and withdrawing the scope of the certification.

c) 市场部负责对获证客户的授予、保持、扩大、缩小、变更、暂停和撤销认证范围发出通知和处理相关事宜。

Marketing department is responsible for inform the client of the granting, maintaining, expanding, reducing, updating, suspending, and withdrawing the scope of the certification.

d) 技术部负责在 AQC 网站上发布授予、保持、扩大、缩小、变更、暂停和撤销认证范围的信息。

The Management Department is responsible for publishing information on the granting, maintaining, expanding, reducing, updating, suspending, and withdrawing the scope of the certification. on the website.

4、认证资格的批准、保持 Approval and Maintenance of Certification Qualifications

4.1 认证的批准 Approval of certification

4.1.1 审核组确认受审核方已进行了一次覆盖标准全部要求的完整内部审核, 并且内部审核和管理评审的有效性得到验证, 在认证审核报告中同意推荐注册。本机构认证部对审核组提交的管理体系认证审核的相关记录审查合格后, 提交认证决定人员进行审定。

Audit team confirm that the auditee has been carried out the complete internal audit that cover all requirements of standard once, and the validity of internal audit and management review are validated, it's approved to recommend the registration in the certification audit report. The certification department of AQC inspect the relevant record of management system certification audit which submit by audit team be qualified, and

submit to the certification decision makers to approve.

4.1.2 批准发证 Approval and issue of certificates

4.1.2.1 经认证决定人员审定过的资料, 若满足认证要求, 本机构总经理/授权人签发认证证书, 技术部负责证书的打印工作和邮寄并在本机构网站上公布;

The documents which approved by certification decision makers could meet the requirement of certification, submit to general manager/authorizer for issuing the certificate, Admin Department is responsible for printing and registering on the website.

4.1.3 客户在获证后, 应严格按照公司的要求, 正确使用认证证书和认证标志。

After obtaining the certificate, the client shall strictly follow the AQC's requirements and use the certificate and certification mark correctly.

4.2 认证资格的保持 Maintenance of registration

本机构管理体系认证证书的有效期为 3 年 (测量管理体系为 5 年)。作为最低要求, 在初次认证审核后的 12 个月内应进行一次监督审核。此后, 应至少每个日历年进行一次监督审核。且两次监督审核的间隔不得超过 12 个月。在认证证书有效期期满前三个月, 获证组织须向本机构提出重新认证 (再认证) 的申请。在认证证书有效期内, 如获证组织的管理体系变更时, 或管理体系认证所依据的管理体系标准变更时, 应当重新申请监督或再认证。

The validity period of this organization's management system certification certificate is 3 years (5 years for MMS). As a minimum requirement, a supervisory audit must be conducted within 12 months after the initial certification audit. Thereafter, a supervisory audit shall be performed at least once per calendar year, with no interval exceeding 12 months between audits. Three months prior to the expiration of the certification certificate, the certified organization must submit an application for re-certification to this organization. During the certificate's validity period, if changes occur in the certified organization's management system or in the management system standard on which the certification is based, a new supervisory or re-certification application must be submitted.

5 认证范围的扩大缩小 Extending and reducing of certification scope

5.1 认证范围扩大 Extending of certification scope

5.1.1 当申请方申请扩大获证组织原有认证范围时 (通常结合监督审核进行), 需提供变更的体系文件和相应的资料, 按合同评审的规定, 转交有关部门进行评审和安排审核。

When an applicant applies to expand the original certification scope of a certified organization (usually conducted together with surveillance audits), they shall provide the revised system documents and relevant materials, which shall be forwarded to the relevant departments for review and audit arrangement in accordance with the provisions of contract review.

5.1.2 本机构将委派审核组对获证组织管理体系文件及管理体系运行是否覆盖了需扩大的认证范围进行审核, 并提交现场审核的相关资料, 经资料审查合格、认证决定人员审定后, 如需扩大的认证范围满足认证要求, 本机构将为其颁发经扩大认证范围的认证证书, 同时收回原证书。

AQC shall arrange the on-site audit to verify whether the certified organization management system document and the operation cover the extending scope and submit the relevant document of the on-site audit, the certification decision maker shall review the document, if acceptable, our company will issue the certificate for

the extending scope and withdraw the original certificate.

5.1.3 根据获证组织要求可单独进行扩大认证范围审核,也可同监督审核或再认证一起进行。单独进行扩大范围审核时,审核条款应覆盖认证标准所要求的主要条款。根据扩大认证范围,确认审核需要覆盖的条款。此外,对与扩大产品/服务有关的部门、地域、场所进行审核,同时还应审核扩大部分与相关活动的相关性。审核项目管理人员应根据新的审核范围所涉及活动/产品的复杂性、可能的风险等级、组织新增规模等因素确定增加的审核人日。

Upon the request of the certified organization, the audit for expanding the certification scope can be conducted independently, or combined with surveillance audits or recertification audits. When the scope expansion audit is carried out separately, the audit clauses shall cover the main clauses specified in the certification standards. Determine the clauses to be covered in the audit in accordance with the expanded certification scope. In addition, conduct audits on departments, regions and sites related to the expanded products or services, and verify the correlation between the expanded part and relevant activities simultaneously. Audit project managers shall determine the additional audit man-days based on factors such as the complexity of activities and products involved in the new audit scope, potential risk levels and the newly increased scale of the organization.

5.2 认证范围缩小 Reducing certification scope

如果获证组织在认证范围的某些部分(如部分业务范围、区域、主要过程等)持续地或严重地不能满足认证要求,公司将缩小其认证范围,以排除不满足的部分。前提是获证组织不能将不可分开的、负有直接责任的关键过程或安全风险较大的部分剔除掉。认证范围的缩小应与认证标准的要求一致。

AQC shall remove the dis-satisfactory parts of certified organization or reduce its certification scope if certain part of its certification scope fails to comply with the certification requirements continuously or severely (such as certain business areas, regions, main processes, etc.).The premise is that the certified organization cannot remove inseparable, directly responsible critical processes or parts with high safety risks. The reduction of certification scope should be consistent with the requirements of certification standards.

5.5.2 缩小管理 Management of reduction

5.5.2.1 当组织的产品/服务范围或组织结构因某种原因有所缩小时,组织应通知本机构。或在监督审核时,审核组发现组织的范围已缩小时,应与组织协商,确认是否缩小认证范围。

The organization should advise our company when the product/service scope or the organization structure is reduced for some reason. Either the audit team should communicate with the organization to confirm whether reduce the certification scope or not when they find the organization scope have been reduced in the surveillance.

5.5.2.2 缩小后的认证范围应满足独立认证的条件。如在本机构办公室内无法核实或经核实不能确定缩小后的认证范围是否满足独立认证条件时,应结合监督审核或安排特别监督审核进行现场确认。

The reduced certification scope should meet the condition of independent certification. Such as the audit team couldn't check whether the reduced certification scope can meet the independent certification, they should confirm on client's site combining with surveillance or arrange special audit.

6 认证资格的暂停和恢复 Suspending and Reinstating of certificates

6.1 暂停条件 suspending condition

有表明获证组织存在影响认证的持续有效性和公信力的以下情况之一时, 本机构将在调查核实后暂停其认证证书。本机构要求认证证书持有者暂停使用认证证书和认证标志, 一般暂停期限不得超过 3 个月, 但属于第 6.1.4 (c) 项情形的暂停期可至相关单位作出许可决定之日。

Our company will suspend the usage of certificate and mark after check and verification, if the certified organization exists one of the following situations that has impact on continuous effectiveness and public confidence of certification. AQC requires the certificate holder to suspend using the certificate and mark. Generally, the suspending period shall not exceed 3 months, but for the 6.1.4 (C) item, the suspending finishing time can be on the date that the relevant unit makes the decision on approval.

6.1.1 管理体系持续或严重不满足认证要求, 包括对管理体系运行有效性要求的

The management systems of certificate holders don't meet the certification requirements constantly or badly, including the requirements on the effectiveness of management system

6.1.2 不满足相关管理体系适用的法律法规要求, 且未采取有效纠正措施的;

Failure to comply with the applicable legal and regulatory requirements for the relevant management system, and failure to implement effective corrective measures;

6.1.3 不承担、履行认证合同约定的责任和义务的; 包括但不限于以下内容

The organization that doesn't commit itself to the responsibility and obligation regulated in the certification contract; including but not limited to following content.

a 未按《认证证书、认证标志使用说明》要求使用本机构签发的证书和认证标志

The certificate holders don't follow the "usage rules for certificate and logo" to use the management system certificate and certification marks issued by our organization.

b 管理体系发生重大变更已不满足原认证覆盖范围要求, 未及时通知本机构得到妥善处理;

When the management systems have significant changes, leading to failing to meet the requirement of original certification scope, however the certificate holders don't inform our organization to handle appropriately;

c 未按规定及时交纳有关认证费用

Relevant certification fee is not paid in accordance with the regulations timely.

d 不能在规定的时限内接受监督审核、特殊审核。

If the organization can't accept the surveillance audit, special audit within a prescribed time limit

e 不接受或不配合本机构组织实施的认证有效性内部稽查、国家主管部门组织实施的监督检查

The certificate holders refuse carrying out the surveillance audit, special audit within the stipulated time limit, or not accept or cooperate the internal audit for certification effectiveness carried out by our organization and supervision inspection conducted by national authorized departments;

6.1.4 其他违反与本机构签订的合同及其协议的规定;

Other violate the provisions of the contracts and agreements signed with or organization.

a 被有关执法监管部门责令停业整顿的;

The certified organization is ordered to suspend business for rectification by the relevant law enforcement and supervision department;

b 被地方认证监管部门发现体系运行存在问题, 需要暂停证书的;

The system operation of the certified organization is found problem by the local certification supervision department, the certificate shall be suspended;

c 持有的行政许可证明、资质证书、强制性认证证书等过期失效, 重新提交的申请已被受理但尚未换证的;

The administrative licensing certificate, qualification certificate, compulsory certification certificate etc. held by the certified organization is overdue and lose efficacy, while the application for new certificate has been submitted and accepted but the certificate has not changed yet;

d 在监督审核、特殊审核、认证有效性内部稽查中发现的不符合项, 在商定的时间内采取的纠正、纠正措施未被接受(或未被证实有效);

The correction/ corrective measures for the in-conformity found during the surveillance audit, special audit and internal audit for certification effectiveness are not accepted In the agreed time (or the effectiveness is not proved); .

e 发生影响产品质量/环境绩效/职业健康安全绩效/食品安全/信息安全/能源管理/测量/服务的重大事故, 或国家行业监督检查发现重大问题, 新闻媒体曝光事件,或在国抽检查中发现不合格;

The serious accidents about the products quality, environmental performance, occupational health and safety performance, food safety/IT/IS/En/M/Service or the major issues found during the supervision and inspection, events exposed by news press, or non-conformity was found in AQC.

f 特殊行业, 在特定时期国家有要求予以暂停的; Some certificate holders those state require to suspend for special industries, specific period of time.

g 对其投诉或任何其它信息证实获证组织不再符合本机构的相关规定要求;

Because of complaints and other information that no longer meets the relevant requirements of our organization.

h 获证客户主动请求暂停;

The certificate holders ask for suspension proactively.

i 其他不满足本机构认证要求的情况.

Other situation that fail to meet the certification requirements.

6.2 暂停管理 management of Suspension

6.2.1 获证组织存在符合暂停准则任一情形, 证书管理人员提交暂停手续, 经本机构总经理核准后, 由市场部向获证组织发出《暂停认证通知书》。

If the certified organization meets any of the criteria for suspension, the certificate administrator submits the suspension application. Upon approval by the institution's general manager, the Marketing Department issues a "Suspension Certification Notice" to the certified organization.

6.2.3 信息上报人员负责按规定应在当在证书暂停 2 个工作日内向国家行业主管部门上报暂停信息, 并及时在公司网站上公布暂停信息。

The information reporting officer is responsible for submitting the suspension details to the national industry regulatory authority within two working days of the certificate being suspended, in accordance with regulations, and promptly publishing the information on AQC's website.

6.2.4 如果客户未能在规定的时限内解决造成暂停的问题, 公司将撤销证书或缩小其认证范围。

If the client fails to resolve the issue that caused the suspension within the prescribed time limit, AQC will withdraw the certificate or reducing the certification scope.

6.3 暂停认证资格的恢复 Reinstating suspended certificate

被暂停获证组织在暂停期内对造成暂停的原因已经根本消除, 并且提供了有效的证书至公司认证决定人员评审后, 经审批可恢复被暂停获证组织的证书的标志。且更新机构管理系统证书状态和网站信息。

The suspended certified client has take the action to eliminate the reason which caused the suspension, and provide the effective evidence to decision maker for review, after the approval, AQC can re-instate the certificate. And update the certificate status in the company management system and the website.

7 认证证书/标志的撤销 Withdrawing of certificates and marks

7.1 撤销准则 Withdrawn rules

获证组织有以下情形之一的, 应在获得相关信息并调查核实后撤销其认证证书并要求认证证书的持有者停止使用认证证书/认证标志:

If the certified organization has one of the following situations, after gathering the relevant information, investigation and verification, our company will withdraw the certificate and require the certificate holder to stop using the certificate / mark:

7.1.1 被注销、破产或撤销法律地位证明文件的。

The legal status documentary evidence of the certified organization is cancelled, withdrawn, or the certified organization goes bankrupt.

7.1.2 被“国家企业信用信息公示系统”和“信用中国”列入严重违法失信名单的;

Those listed on the Serious Illegal and Dishonest List by the "National Enterprise Credit Information Disclosure System" and "Credit China";

7.1.3 拒绝配合认证监管部门实施的监督检查, 或者对有关事项的询问和调查提供了虚假材料或信息的。

The certified organization refuses to cooperate the supervision and check from certification supervision department, or for the inquiry and investigation of relevant items, the certified organization provides the fake material or information;

7.1.4 拒绝接受国家产品监督抽查的。

Refused to accept the national product quality supervision and inspection.

7.1.5 出现重大的产品和服务等质量安全事故, 经执法监管部门确认是获证组织违规造成的。发生影响质量、环境、职业安全/信息安全/能源管理/测量/服务等重大事故, 造成严重不良社会影响的, 经调查造成事故的原因是因为体系存在严重缺陷或组织未能在暂停期内就重大事故的原因进行调查并采取有效的纠正措施。

Those certificate holders who have the serious accidents about the products of quality, environmental performance, occupational health and safety , IT, IS, EnM, M and service, and the cause is that the system has serious defects or the don't carry out investigation the root cause of the serious accidents and take effectiveness action with the period of withdrawn.

7.1.6 严重违反双方认证合同规定的。

Violate seriously the provisions of the contracts and agreements signed with or organization.

7.1.7 有其他严重违法违反法律法规行为的。

Other behaviors that seriously violate the laws and regulations.

7.1.8 暂停认证证书的期限已满但导致暂停的问题未得到解决或纠正的（包括持有的与质量管理体系范围有关行政许可证明、资质证书、强制性认证证书等已经过期失效但申请未获批准）。

The suspending period is finished, but the problem causes the suspending hasn't been resolved or corrected (including the held administrative licensing certificate, qualification certificate, compulsory certification certificate relating to the scope of quality management system expires and lose the effectiveness, but the application is not approved) .

7.1.9 没有运行管理体系或者已不具备运行条件的。

The quality management system is not running or has no condition for running.

7.1.10 不按相关规定正确引用和宣传获得的认证信息，造成严重影响或后果，或者认证机构已要求其纠正但持续未纠正的。

The certified organization doesn't correctly reference and publicize the obtained certification information according to relevant provisions, and resulting in severe impact or result, or certification body has required the certified organization to correct, but the certified organization hasn't corrected for long time.

7.1.11 其他应当撤销认证证书的。

Other situations that the certification certificate shall be withdrawn.

7.1.12 获证客户主动要求撤销证书；

The certificate holders ask for withdrawn proactively

7.1.13 其他重大影响管理体系有效性的情况。 Other situation that great influence on management system effectiveness

7.2 撤销手续 Withdrawing procedures

7.2.1 获证组织存在符合撤销准则任一情形，证书管理人员应按本机构规定向总经理/总经理授权人提交证书撤销手续，经核准后，向获证组织发出《撤销认证通知书》。

If the certificate holder meet each one following withdrawn rule, certification management person shall present withdrawing process to general manager, the notification letter shall clearly inform the certified organization that the certified organization cannot use the certificate, mark or reference certification information by any means when the certificate is withdrawn. After the approval by general manager, 'withdrawing certificate mark notification' shall be send to certificate holder.

7.2.2 信息上报人员负责按规定应在当日内向国家行业主管部门上报撤销信息，并及时在公司网站上公布暂停信息。

According to regulation, information report person is responsible for reporting the withdraw information to CNCA, and timely publicizing the suspending information on the website of the company.

7.2.3 认证证书自撤销之日起将不可被恢复，如获证组织申请认证证书，按初审提交申请至公司。

The certificate will not be reinstated after be withdrawn, if the client apply the certificate, should provide the initial certification application to company.

7.2.4 市场部应及时收回撤销的认证证书负责撤销认证证书的收缴工作，回收证书并存档管理。

Marketing department shall timely take back the withdrawn certificate, and archive for

management.AQC-P-12 “General certification management procedure”

7.3 认证证书的注销 **cancellation of the certification certificate**

7.3.1 获证组织主动申请不在保持认证证书时, AQC 应确认在不存在暂停或者撤销情形后, 注销其如认证证书, 并保留相关证据。

When a certified organization voluntarily applies to withdraw its certification, AQC shall confirm that no suspension or revocation has occurred, revoke the certification, and retain relevant evidence.

7.3.2 注销手续 **cancellation procedures**

(1)获证组织确定不再保持认证证书时, 需向 AQC 提交经组织确认后的认证证书注销申请。

When a certified organization determines to no longer maintain its certification certificate, it must submit a certificate cancellation application confirmed by the organization to AQC.

(2)AQC 接到申请后, 由技术部对组织的证书状态进行核实。核实无误后, 填写暂停、撤销、注销、恢复审批表。报请总经理审批。

Upon receiving the application, the AQC has the Technology Department verify the status of the organization's certificate. After confirmation, the suspension, revocation, cancellation, or restoration approval form is completed and submitted for approval to the General Manager.

(3)总经理审批后, 技术部人员将进行证书注销操作, 并将操作结果告知。

After approval by the General Manager, the technical department staff will proceed with the certificate cancellation procedure and notify the results accordingly.

(4)信息上报人员负责按规定应在当日内向国家行业主管部门上报注销信息, 并及时在公司网站上公布注销信息。

The information reporting officer is responsible for submitting the cancellation information to the national industry regulatory authority within the same day as required, and promptly publishing the cancellation details on the company's website.

(5)市场部应及时收回撤销的认证证书负责撤销认证证书的收缴工作, 回收证书并存档。

The Marketing Department shall promptly take back the revoked certification certificates, be responsible for the collection of revoked certification certificates, and collect and file the certificates.