

安骐认证服务（上海）有限公司

Anqi Certification Service (Shanghai) Co., Ltd.

管理体系认证注册规则

Management System Certification and Registration Rules

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管理体系认证注册规则

Management System Certification and Registration Rules

本文件适用于管理体系认证注册申请、获得和保持,并为认证注册的申请、获得和保持提供指导,本文件的内容是 AQC 有关认证注册的规定中的公开部分,读并遵照执行(主要流程见附件一)。管理体系认证注册的特殊要求详见各管理体系认证过程管理程序。

This document is applicable to the application, acquisition and maintenance of management system certification and registration, and provides guidance for the application, acquisition and maintenance of certification and registration. The content of this document is the public part of AQC regulations on certification and registration, which is read and followed (see Annex I for the main process). The special requirements for management system certification registration are detailed in the management procedures for each management system certification process.

1 申请注册 Application for registration

1.1 申请认证注册的组织应具备以下条件

The organization applying for certification and registration shall meet the following conditions

a) 应是具有自身职能,并独立承担责任的法律实体,取得相关法律法规规定的行政许可并处在有效期内;

The company shall be a legal entity with independent functions and accountability, having obtained the administrative license stipulated by relevant laws and regulations and holding a valid license.

b) 应已按照选定标准建立了管理体系并运行;运行时间至少应达到 3 个月(EC9000 和 EnMS 需满足 6 个月)以上,体系运行至少进行了一次内部管理体系审核和管理评审。

The management system shall have been established and implemented in accordance with the selected standards; its operation period shall be at least 3 months (6 months for EC9000 and EnMS), and the system shall have undergone at least one internal management system audit and management review.

c) 已按所申请认证注册的管理体系标准要求建立了管理体系,并实施运行,管理体系文件已对申请认证的范围及所涉及的活动做出了说明;

The management system has been established and operated according to the standard requirements of the management system applied for certification and registration, and the scope and activities involved in the application for certification have been described in the management system documents;

d) 承诺遵守 AQC 的认证要求和有关规定,提供认证审核所要求的信息。

Promise to comply with AQC certification requirements and relevant regulations and provide information required for certification audit.

1.2 申请认证注册应提交的文件在《管理体系认证申请书》中有具体说明,申请组织需填好申请书并按要求提供相应附件。

The documents to be submitted for certification and registration are specified in the management system certification application. The application organization shall fill in the application and provide corresponding attachments as required.

1.3 申请组织必须交认证合同要求直接向 AQC 按时安规支付认证注册所需的各项费用。

The applying organization must submit the certification contract and pay all fees required for certification registration directly to AQC in a timely manner according to safety regulations.

1.4 申请组织在充分了解 AQC 与认证注册有关的规定并提交了《管理体系认证申请书》后, 由 AQC 通过认证申请评审决定接受或拒绝认证申请, 当评审决定结果为拒绝申请注册时, AQC 会就拒绝的原因以书面的形式告知客户。评审通过后, AQC 与受审核方签订《管理体系认证合同》, 作为合同履约的依据。

After thoroughly reviewing the AQC's regulations pertaining to certification and registration and submitting the Management System Certification Application Form, the AQC evaluates the application to decide whether to grant or reject it. If the application is rejected, the AQC provides the client with a written notice detailing the reasons for the rejection. Upon approval, the AQC enters into a Management System Certification Contract with the audited party, which serves as the basis for contract performance.

1.5 按照认证认可行业的法律法规, 以及认可机构的认可规范, AQC 在中国境内颁发的认证证书将在我公司的官方网站以及 CNCA 的官方网站上进行公布及更新。

In accordance with the laws and regulations of the certification and accreditation industry and the accreditation specifications of accreditation institutions, the certification certificates issued by AQC in China will be published and updated on our company's official website and CNCA's official website.

2 认证流程 Certification process

任何组织初次在 AQC 进行注册申请, 均需通过一个完整的一、二阶段的现场审核并得到推荐性结论、以及独立的认证决定过程。

Any organization applying for registration in AQC for the first time must pass a complete stage I and II on-site audit and obtain recommended conclusions, as well as an independent certification decision process.

3 审核实施 Audit implementation

3.1 审核组应当会同申请组织按照程序顺序召开首、末次会议、受审核方的最高管理者、管理体系相关职能部门负责人以及管理体系相关其他人员应参加。受审核方的最高管理者不能参加首末次会议的应由获得书面授权的其他高层管理人员参会, 并记录最高领导者缺席理由。审核组应通过面对面访谈的方式对受审核方最高管理者在管理体系中发挥的领导作用情况进行重点审核, 并保留现场图片、音像审核记录等证明材料。最高管理者不熟悉自身的管理方针、目标并未亲自参与并推动管理体系实施的, 认证审核不予通过。

The audit team shall convene the opening and closing meetings in accordance with established procedures in collaboration with the applicant organization. The highest executive of the audited party, heads of relevant management system functional departments, and other relevant personnel shall attend these meetings. If the highest executive is unable to participate, another senior executive with written authorization shall attend, and the reason for their absence shall be documented. The audit team shall conduct focused evaluations of the highest executive's leadership role within the management system through face-to-face interviews, retaining supporting materials such as on-site photographs and audiovisual records. The certification audit will not be approved if the highest executive lacks familiarity with the organization's management policies and objectives, or has not

personally participated in or promoted the implementation of the management system.

3.2 终止审核的情形 Scenarios for terminating an audit

发生下列情况的, 审核组应向认证机构报告后终止审核。

In any of the following circumstances, the audit team shall terminate the audit after reporting to the certification body.

- a) 受审核方对审核活动不予配合, 审核活动无法进行的;
- b) 受审核方的最高管理者或者经授权的其他高级管理层成员缺席首、末次会议的;
- c) 受审核方的实际情况与申请材料有重大不一致的;
- d) 其他导致审核程序无法完成的情况。

Where the audited party fails to cooperate with the audit activities, rendering the audit impossible;

where the highest executive of the audited party or other authorized senior management members are absent from the opening and closing meetings;

where there are significant discrepancies between the actual circumstances of the audited party and the submitted application materials;

where any other circumstances prevent the completion of the audit procedures.

3.3 审核过程及环节 Audit process and links

管理体系的初次认证审核应包括两个阶段实施: 第一阶段和第二阶段。初次认证证书颁发之后的第一年与第二年的监督审核和第三年在认证到期前进行的再认证审核 (MMS 一个认证周期为 5 年)。两个阶段间隔最少不应少于 5 日, 最长不应超过 6 个月。如需更长时间间隔, 需重新实施一阶段审核。第一个认证周期从初次证书颁发之日算起。

The initial certification audit for a management system should be conducted in two phases: Phase One and Phase Two. The first-year and second-year monitoring audits are performed after the initial certification is issued, followed by a re-certification audit in the third year prior to the certification expiration date (each MMS certification cycle lasts five years). The interval between the two phases shall be no less than five days and no more than six months. If a longer interval is required, Phase One of the audit must be repeated. The first certification cycle begins on the date the initial certificate is issued..

3.3.1 第一阶段审核 Phase I audit

3.3.1.1 第一阶段审核应审核以下内容:

The first stage audit shall review the following contents:

- a) 审核客户的文件化的管理体系信息。

Review the customer's documented management system information.

- b) 确认申请组织建立的管理体系覆盖的活动内容和范围、体系覆盖范围内有效人数、过程和场所, 遵守适用的法律法规及强制性标准的情况。

Confirm the content and scope of activities covered by the management system established by the applicant organization, the effective number, process and place within the system coverage, and compliance with applicable laws, regulations and mandatory standards.

- c) 结合管理体系覆盖产品和服务的特点识别对目标的实现具有重要影响的关键点, 并结合其他因素, 科学确定重要审核点。

In combination with the characteristics of products and services covered by the management system, identify

the key points that have an important impact on the realization of objectives, and scientifically determine the important audit points in combination with other factors.

d) 评价客户的运作场所和现场的具体情况, 并与客户的人员讨论, 以确定第二阶段审核的准备情况;

Evaluate the specific situation of the customer's operation site and site, and discuss with the customer's personnel to determine the preparation for the second stage audit;

e) 审查客户理解和实施标准要求的情况, 特别是对管理体系的关键绩效或重要的因素, 过程、目标和运作的识别情况;

Review customers' understanding and implementation of standard requirements, especially the identification of key performance or important factors, processes, objectives and operations of the management system;

f) 收集关于客户的管理体系范围的必要信息, 包括客户的场所、使用的过程和设备, 所建立的控制的水平 (特别是客户为多场所时) 以及适用的法律法规要求和遵守情况 (如客户运作中的质量、环境、法律因素, 相关的风险等) ;

Collect necessary information about the scope of the customer's management system, including the customer's place, process and equipment used, the established control level (especially when the customer is in multiple places), as well as the applicable legal and regulatory requirements and compliance (such as quality, environment, legal factors, relevant risks, etc. in the customer's operation);

g) 审查第二阶段审核所需资源配置情况, 与客户商定第二阶段审核的细节;

Review the resource allocation required for the second stage audit and agree with the customer on the details of the second stage audit;

h) 结合管理体系标准或其他规范性文件充分了解客户的管理体系和现场运作, 以便为策划第二阶段提供关注点;

Fully understand the customer's management system and on-site operation in combination with the management system standards or other normative documents, so as to provide focus for the second stage of planning;

i) 结合现场情况, 审核申请组织理解和实施管理体系标准要求的情况, 评价管理体系运行过程中是否策划和实施了内部审核与管理评审, 确认质量管理体系是否已运行并且满足管理体系对于运行时间要求, 以及管理体系的实施程度能否证明客户已为第二阶段审核做好准备。

Combined with the site situation, review the application organization's understanding and implementation of the standard requirements of the management system, evaluate whether the internal audit and management review have been planned and implemented during the operation of the management system, confirm whether the quality management system has been in operation for more than 3 months, and whether the implementation degree of the management system can prove that the customer is ready for the second stage audit.

j) 与申请组织讨论确定第二阶段审核安排。对管理体系成文信息严重不符合现场实际、相关体系运行尚未超过满足相应管理体系要求 (一般为 3 个月, EC9000 和 EnMS 为 6 个月) 或者无法证明超过满足相应管理体系要求的、其他不具备二阶段审核条件的, 不应实施二阶段审核。

Discuss and finalize the second-stage audit arrangements with the applying organization. A second-stage audit should not be conducted if: the documented management system information significantly deviates from actual on-site conditions; the relevant systems have not yet demonstrated full compliance with the corresponding management system requirements (typically within 3 months for EC9000 and EnMS, or 6 months); or if it cannot

be proven that the requirements are fully met; or if other conditions preclude conducting a second-stage audit.

3.3.1.2 一阶段审核结束, 审核组将第一阶段目的是否达到以及第二阶段是否准备就绪的书面结论告知客户, 包括识别任何引起关注的、在第二阶段可能被判定为不符合的问题。只有在一阶段识别的所有问题得到解决后, 方可安排二阶段审核。一阶段与二阶段时间间隔最短不应少于 5 日, 最长不应超过 6 个月, 否则重新实施一阶段。

Upon completion of the first-phase audit, the audit team shall provide the client with a written conclusion regarding whether the objectives of the first phase were achieved and whether the second phase is ready, including identification of any issues of concern that may be deemed non-compliant in the second phase. The second-phase audit may only be scheduled after all issues identified in the first phase have been resolved. The interval between the first and second phases shall be no less than 5 days and no more than 6 months; otherwise, the first phase must be repeated.

3.3.2 第二阶段审核 Second stage audit

3.3.2.1 第二阶段的目的是评价客户管理体系的实施情况, 包括有效性。第二阶段应在客户的现场进行, 并至少覆盖以下方面:

The purpose of the second stage is to evaluate the implementation of the customer management system, including effectiveness. The second stage shall be carried out at the customer's site and cover at least the following aspects:

a) 与适用的管理体系标准或其他规范性文件的所有要求的符合情况及证据;

Compliance with all requirements of applicable management system standards or other normative documents and evidence;

b) 依据客户的关键绩效目标和指标 (与适用的管理体系标准或其他规范性文件的期望一致), 对绩效进行的监视, 测量, 报告和评审; 为实现方针而在相关职能、层次和过程上建立目标是否具体适用、可测量并得到沟通、监视。

Monitor, measure, report and review the performance according to the customer's key performance objectives and indicators (consistent with the expectations of applicable management system standards or other normative documents); Whether the objectives established in relevant functions, levels and processes to achieve the policy are specifically applicable, measurable, communicated and monitored.

c) 客户的管理体系的能力以及在符合适用法律法规要求和合同要求方面的绩效;

The ability of the customer's management system and its performance in meeting the requirements of applicable laws and regulations and contract requirements;

d) 在第一阶段审核中识别的重要审核点的过程控制的有效性。

Effectiveness of process control of important audit points identified in the first stage audit.

e) 客户过程的运作控制, 对管理体系覆盖的过程和活动的管理及控制情况。

Operation control of customer process, management and control of processes and activities covered by the management system.

f) 内部审核和管理评审是否有效;

Whether the internal audit and management review are effective;

g) 针对客户方针的管理职责;

Management responsibilities for customer policies;

h) 申请组织实际工作记录是否真实。对于审核发现的真实性存疑的证据应予以记录并在做出审核结论及认证决定时予以考虑。

Whether the actual work records of the applicant organization are true. Evidence with doubt about the authenticity of audit findings shall be recorded and considered when making audit conclusions and certification decisions.

3.3.2.2 发生以下情况时, 审核组应向认证机构报告, 经认证机构同意后终止审核。

In case of the following circumstances, the audit team shall report to the certification authority and terminate the audit with the consent of the certification authority.

a) 受审核方对审核活动不予配合, 审核活动无法进行;

The auditee does not cooperate with the audit activities, and the audit activities cannot be carried out;

b) 受审核方实际情况与申请材料有重大不一致;

The actual situation of the auditee is materially inconsistent with the application materials;

c) 其他导致审核程序无法完成的情况。

Other circumstances that make the audit procedure impossible to complete.

3.3.3 审核报告 Audit report

3.3.3.1 AQC 为每次审核, 审核组应对审核活动形成书面审核报告。AQC 享有对审核报告的所有权。

AQC is for each audit, and the audit team shall form a written audit report on the audit activities. AQC owns the audit report.

3.3.3.2 AQC 需在作出认证决定后将审核报告提交申请组织。

AQC shall submit the audit report to the applicant organization after making the certification decision.

3.3.3.3 对终止审核的项目, 审核组应将已开展的工作情况形成报告提交给申请组织。

For the project whose audit is terminated, the audit team shall form a report on the work carried out and submit it to the application organization.

3.3.4 不符合项的纠正和纠正措施及其结果的验证

Correction of nonconformities and verification of corrective measures and their results

对审核中发现的不符合项, 审核组应在末次会议要求申请组织在规定的时限内分析原因, 采取相应的纠正措施。

AQC 对受审核方所采取的纠正措施有效性进行验证。受审核方可针对轻微不符合制定纠正措施计划, 由 AQC 在下次审核时验证。

一般轻微不符合 30 天内完成, 最长不应超过 6 个月, 严重不符合验证时限要求二阶段审核结束之日 6 个月内完成。

For non-conformities identified during the audit, the audit team shall require the applying organization at the final meeting to analyze the causes and implement corresponding corrective actions within the specified timeframe.

AQC verifies the effectiveness of the corrective measures implemented by the audited party. The audited party may develop a corrective action plan for minor non-conformities, which will be verified by AQC during the next audit.

For minor non-compliance, completion should be achieved within 30 days, with a maximum duration not exceeding 6 months; for severe non-compliance, the verification period must be completed within 6 months from

the date of completion of the second-stage review.

3.3.5 认证决定 Certification decision

3.3.5.1 AQC 应该在对审核报告、不符合项的纠正和纠正措施及验证情况和其他信息进行复核、综合评价的基础上, 做出认证决定, 认证决定人员应为 AQC 专职认证人员, 并不得为审核组成员, 能力应满足本机构资质审批要求。认证决定不得外包, 并应由国内工作人员作出。

AQC shall make certification decisions based on a comprehensive review and evaluation of audit reports, corrective actions for non-conformities, verification status, and other relevant information. The certification decision-maker must be AQC's full-time certification officer, who cannot serve as a member of the audit team and must possess the requisite qualifications to meet the institution's accreditation requirements. Certification decisions shall not be outsourced and must be issued by domestic personnel.

3.3.5.2 AQC 在作出认证决定前应确认如下情形

AQC shall confirm the following situations before making a certification decision

a)审核组提供的信息足以确定认证要求的满足情况和认证范围;

The information provided by the audit team is sufficient to determine the satisfaction of certification requirements and certification scope;

b)对于所有严重不符合, AQC 已审查、接受和验证了纠正和纠正措施:

For all serious nonconformities, AQC has reviewed, accepted and verified the corrections and corrective actions:

c)对于所有轻微不符合, AQC 已审查和接受了客户对纠正和纠正措施的计划。

For all minor nonconformities, AQC has reviewed and accepted the customer's plan for corrective and corrective actions.

3.3.5.3 在满足本规则 3.3.5.2 条要求的基础上, AQC 有充分的客观证据证明申请组织满足下列要求的, 评定该申请组织符合认证要求, 向其颁发认证证书。

On the basis of meeting the requirements of article 3.2.5.3 of these rules, if AQC has sufficient objective evidence to prove that the applicant organization meets the following requirements, the applicant organization shall be evaluated as meeting the certification requirements and issued a certification certificate.

a) 申请组织的管理体系符合标准要求且运行有效。

The management system of the applicant organization meets the standard requirements and operates effectively.

b) 认证范围覆盖的产品和服务符合相关法律法规要求。

The products and services covered by the certification meet the requirements of relevant laws and regulations.

c) 申请组织按照认证合同规定履行了相关义务。

The applicant organization has fulfilled relevant obligations in accordance with the certification contract.

3.3.5.4 认证决定应在现场审核后 6 个月内做出, 否则应在推荐注册前再实施一次二阶段的审核。

The certification decision shall be made within six months after the on-site audit; otherwise, a second-stage audit shall be conducted prior to recommending registration.

3.3.5.5 申请组织不能满足上述要求或者存在以下情况的, 评定该申请组织不符合认证要求, 以书面形式告知申请组织并说明其未通过认证的原因。

If the applicant organization fails to meet the above requirements or has the following circumstances, it shall be evaluated that the applicant organization does not meet the certification requirements, and the applicant organization shall be informed in writing and explain the reasons for its failure to pass the certification.

a) 受审核方的管理体系有重大缺陷, 不符合相关管理体系标准的要求。

The auditee's management system has major defects and does not meet the requirements of relevant management system standards.

b) 发现受审核方存在重大质量问题或有其他与产品和服务质量相关严重违法违规行为。

It is found that the auditee has major quality and safety problems or other serious violations related to product and service quality.

3.3.5.6 认证机构在颁发认证证书后, 应当在 30 个工作日内按照规定的要求将认证结果相关信息报送国家认监委。

After issuing the certification certificate, the certification authority shall submit the relevant information of the certification results to the CNCA in accordance with the specified requirements within 30 working days.

4 监督审核 Supervision and audit

4.1 AQC 应对持有其颁发的管理体系认证证书的组织（以下称获证组织）进行有效跟踪, 监督获证组织持续运行管理体系并符合认证要求。作为最低要求, 初次认证后的第一次监督审核应在认证证书签发日起 12 个月内进行。此后, 监督审核应至少每个日历年（应进行再认证的年份除外）进行一次, 且两次监督审核的时间间隔不得超过 12 个月。

AQC shall effectively track the organization holding the management system certification certificate issued by it (hereinafter referred to as the certified organization), and supervise the certified organization to continuously operate the management system and meet the certification requirements. As a minimum, the first supervision audit after the initial certification shall be conducted within 12 months from the date of issuance of the certification certificate. Thereafter, the supervision audit shall be conducted at least once every calendar year (except the year in which re-certification shall be conducted), and the interval between the two supervision audits shall not exceed 12 months.

4.2 如果获证客户对其管理体系进行了重大的更改, 或者发生了影响到其认证基础的变更, 或发生重大食品安全事故、环境污染事故、职业健康安全事故时, AQC 可能会进行特殊审核。

If a certified client makes significant changes to its management system, experiences alterations affecting its certification basis, or suffers a major food safety incident, environmental pollution incident, or occupational health and safety incident, AQC may conduct a special audit.

4.3 获证企业的产品在产品质量国家监督抽查中被查出不合格时, 自国家质检总局发出通报起 30 日内, 认证机构应对该企业实施提前较短时间通知的审核。

When products of certified enterprises are found non-compliant during national quality supervision sampling inspections, the certification body shall conduct an audit with prior short-term notification within 30 days from the date of the notification issued by the General Administration of Quality Supervision, Inspection and Quarantine.

4.4 监督审核应在获证组织现场进行, 且为使现场审核活动能够观察到产品生产或服务活动情况, 现场审核应安排在认证范围覆盖的产品生产或服务活动正常运行时进行。由于市场、季节性等原因, 在每次

监督审核时难以覆盖所有产品和服务的,在认证证书有效期内的监督审核需覆盖认证范围内的所有产品和服务。

The supervision and audit shall be conducted on the site of the certified organization. In order to enable the on-site audit activities to observe the product production or service activities, the on-site audit shall be arranged when the product production or service activities covered by the certification are in normal operation. If it is difficult to cover all products and services during each supervision and audit due to market, seasonal and other reasons, the supervision and audit within the validity period of the certification certificate shall cover all products and services within the certification scope.

4.5 监督审核是现场审核,但不一定是对整个体系的审核,AQC 将与其他监督活动一起策划,以使 AQC 能对获证客户管理体系在认证周期内持续满足要求保持信任。相关管理体系标准的每次监督审核应包括对以下方面的审查:

Supervision and audit is an on-site audit, but not necessarily an audit of the whole system. AQC will plan together with other supervision activities to enable AQC to maintain trust in the certified customer management system to continuously meet the requirements within the certification cycle. Each supervision and audit of relevant management system standards shall include the review of the following aspects:

a)自上次审核,管理体系覆盖的活动及运行体系的资源是否有变更;

Whether the activities covered by the management system and the resources of the operation system have changed since the last audit;

b)对已识别的重要关键点是否按管理体系的要求在正常和有效运行;

Whether the identified key points operate normally and effectively according to the requirements of the management system;

c)对上次审核中确定的不符合项所采取的纠正和纠正措施是否继续有效;

Whether the corrective and corrective measures taken for the nonconformities determined in the last audit continue to be effective;

d)内部审核和管理评审是否规范和有效;

Whether the internal audit and management review are standardized and effective;

e)是否及时接受和处理投诉;

Whether complaints are received and handled in time;

f) 是否针对体系运行中发现的问题或投诉,是否及时制并实施了有效的改进措施;

Whether effective improvement measures have been made and implemented in a timely manner for the problems or complaints found in the operation of the system;

g)管理体系在实现获证客户绩效目标方面的有效性(总目标及各项分解目标是否实现,目标没有实现的,获证组织是否运行内审机制识别了原因,是否运行管理评审机制确定并实施了改进措施);

Effectiveness of the management system in achieving the performance objectives of certified customers (whether the overall objectives and various decomposition objectives have been achieved, if the objectives have not been achieved, whether the certified organization has operated the internal audit mechanism to identify the causes, whether the management review mechanism has been operated to determine and implement improvement measures);

h)管理体系覆盖的活动涉及法律法规规定的是否持续符合相关规定;

If the activities covered by the management system involve laws and regulations, whether they continue to comply with relevant regulations;

i)为持续改进而策划的活动的进展;

Progress of activities planned for continuous improvement;

j)持续的运作控制;

Continuous operation control;

k)任何变更;

Any change;

l)企业对认证标志的使用和（或）任何其他对认证资格的引用情况是否符合《认证认可条例》及其他相关规定。

Whether the enterprise's use of certification marks and / or any other reference to certification qualifications comply with the certification and accreditation regulations and other relevant provisions.

4.6 在监督审核中发现的不符合项, AQC 应要求获证组织分析原因, 规定时限要求获证组织完成纠正和纠正措施并提供纠正和纠正措施有效性的证据。AQC 应采用适宜的方式及时验证获证组织对不符合项进行处置的效果。一般轻微不符合 30 天内完成, 严重不符合验证时限要求审核结束之日 3 个月内完成。

For non-conformities identified during supervisory audits, AQC shall require the certified organization to analyze the causes and specify a deadline for completing corrective actions and providing evidence of their effectiveness. AQC shall employ appropriate methods to promptly verify the effectiveness of the certified organization's response to non-conformities: minor non-conformities shall be resolved within 30 days, while serious non-conformities must be addressed within three months following the audit conclusion date.

4.7 AQC 根据监督审核报告及其他相关信息, 作出继续保持或暂停、撤销认证证书的决定。

AQC shall make a decision to continue to maintain or suspend or revoke the certification certificate according to the supervision and audit report and other relevant information.

并由 AQC 给客户发放书面的通知书。

AQC shall issue a written notice to the customer.

5 再认证审核 Re-certification audit

5.1 再认证在客户认证证书到期前进行（以确保在再认证审核中发现不符合时, 客户实施纠正与纠正措施的时限能在认证证书有效期内, AQC 一般在证书到期前 3 个月内进行）。再认证审核将评价整体的客户管理体系依据所有认证准则要求的持续符合性及有效性。

Re certification is conducted prior to the expiration of the customer certification certificate (to ensure that, should any non-conformities be identified during the re-certification audit, the customer has sufficient time to implement corrective actions within the certificate's validity period; AQC typically performs this process three months before certificate expiration). The re-certification audit evaluates the overall customer management system's ongoing compliance and effectiveness in accordance with all certification requirements.

5.2 再认证审核前 AQC 将对客户管理体系在认证周期内的绩效进行评审。因此客户应保存好每次审核的报告。

Before the re-certification audit, AQC will review the performance of the customer management system within the certification cycle. Therefore, the customer shall keep the report of each audit.

5.3 当管理体系、获认证组织运作环境发生重大变更时,再认证审核可能需要有第一阶段审核。

In case of major changes in the management system and the operating environment of the certified organization, the re certification audit may need the first stage audit.

5.4 客户的管理体系如果覆盖多个场所, AQC 将按照规定对其进行抽样审核。

If the customer's management system covers multiple sites, AQC will conduct sampling audit according to regulations.

5.5 再认证审核需到客户现场进行, 审核内容主要包括:

The re certification audit shall be conducted at the customer's site. The audit contents mainly include:

a) 结合内部和外部变更来看的整个管理体系的有效性, 以及认证范围的持续相关性和适宜性;

The effectiveness of the whole management system in combination with internal and external changes, as well as the continuous relevance and suitability of the certification scope;

b) 经证实的对保持管理体系有效性并改进管理体系, 以提高整体绩效的承诺;

Proven commitment to maintaining the effectiveness of the management system and improving the management system to improve overall performance;

c) 管理体系在实现获证客户目标和管理体系预期结果方面的有效性。

The effectiveness of the management system in achieving the objectives of certified customers and the expected results of the management system.

5.6 AQC 根据再认证审核的结果(包括再认证审核发现的不符合, AQC 应规定时限要求获证组织实施纠正与纠正措施, 并在原认证证书到期前完成对纠正与纠正措施的验证, 并提供相应的证据, 并在规定的时间提供给 AQC(审核组长)验证有效), 以及认证周期内的体系评价结果和认证使用方的投诉, 做出是否更新认证的决定。

再认证不符合整改时限要求: 在证书到期前完成。

According to the results of the re certification audit (including the nonconformities found in the re certification audit, AQC shall specify the time limit, require the certified organization to implement the corrective and corrective measures, complete the verification of the corrective and corrective measures before the expiration of the original certification certificate, provide corresponding evidence, and provide it to AQC (audit team leader) for verification within the specified time), And the system evaluation results within the certification cycle and the complaints of the certification user, and make a decision on whether to update the certification.

The re-certification does not meet the required rectification deadline: completion must be completed before the certificate expires.

如果 AQC 决定更新客户的认证资格, 将给客户重新颁发注册证书, 重新颁发的证书通常三年内有效;

If AQC decides to renew the customer's certification qualification, it will reissue the registration certificate to the customer, which is usually valid for three years;

如果 AQC 拒绝保持其认证资格, 则应将拒绝原因告知客户并保留相关记录。

If AQC refuses to maintain its certification qualification, it shall inform the customer of the reasons for the refusal and keep relevant records.

AQC 按照规定要求作出再认证决定。如获证组织继续满足认证要求并履行认证合同义务的, 向其换发认证证书。

AQC makes a re certification decision in accordance with the specified requirements. If the certified

organization continues to meet the certification requirements and fulfill the obligations of the certification contract, it shall renew the certification certificate.

5.7 如果在当前认证证书的终止日期前完成了再认证活动并决定换发证书, 新认证证书的终止日期可以基于当前认证证书的终止日期。新认证证书上的颁证日期应不早于再认证决定日期。

If the re-certification activity is completed before the termination date of the current certification certificate and it is decided to replace the certificate, the termination date of the new certification certificate can be based on the termination date of the current certification certificate. The issuing date on the new certification certificate shall not be earlier than the date of re-certification decision.

如果在当前认证证书终止日期前, AQC 未能完成再认证审核或对严重不符合项实施的纠正和纠正措施未能进行验证, 则不应予以再认证, 也不应延长原认证证书的有效期, 证书到期后自动失效。如需要申请注册, 应按照初审进行审核。

If, before the current certification certificate's expiration date, AQC fails to complete the re-certification review or fails to validate the corrective actions implemented for serious non-conformities, re-certification shall not be granted, nor shall the validity period of the original certification certificate be extended; the certificate shall automatically expire upon expiration. If registration is required, the application shall undergo review in accordance with the initial assessment process.

6 特殊审核 Special audit

6.1 扩大认证范围 Expand the scope of certification

扩大认证范围由客户提交书面申请, 并同时提供相关的体系文件。AQC 在对申请评审确定后, 安排一次特殊审核, 也可能结合监督审核进行。审核结束后, 经 AQC 审查合格, 以做出是否可予扩大的决定, 并将决定告知客户, 更换认证证书, 并在 AQC 运营的所有地理区域中保持(通过出版物、电子介质或其他方式)并在有请求时公开相关信息。

To expand the scope of certification, the customer shall submit a written application and provide relevant system documents at the same time. After the application is reviewed and determined, AQC will arrange a special audit, which may also be conducted in combination with the supervision audit. After the audit, AQC will review the qualification to make a decision on whether it can be expanded, inform the customer of the decision, replace the certification certificate, maintain it in all geographical areas where AQC operates (through publications, electronic media or other means) and disclose relevant information upon request.

6.2 提前较短时间通知客户的审核

Inform the customer of the audit in a short time in advance

AQC 为调查投诉、质量、环境、职业健康安全、信息安全方面的事故等, 对变更做出回应或对被暂停的客户进行追踪, 可能需要在提前较短时间通知获证客户后或不通知获证客户就对其进行审核。

In order to investigate complaints, respond to changes or track suspended customers, AQC may need to review them after notifying the certified customer in a short time in advance or without notifying the certified customer.

对于以下几种情况, AQC 可能需要在较短时间内通知客户, 安排一次特殊审核:

For the following cases, AQC may need to notify the customer in a short time to arrange a special audit:

a)。在 AQC 收到的投诉中, 可能涉及客户的管理体系的有效性, AQC 将会安排特殊审核进行调查

处理;

Investigate complaints. AQC will arrange a special audit to investigate and deal with the complaints received by AQC that may involve the effectiveness of the customer's management system;

b) 对投诉进行调查获证客户的管理体系状况发生重大变化的追踪。如客户的法律地位、组织结构变动, 产品或产品实现的场所变动、出现了重大的质量、环境、职业健康安全、信息安全方面的事故等, AQC 应通过特殊审核以对此种变更进行了解, 并做出是否影响管理体系有效性的决定;

Tracking of significant changes in the management system of certified customers. For example, changes in the legal status and organizational structure of customers, changes in products or places where products are realized, major accidents in quality, environment, occupational health and safety and information security, AQC shall understand such changes through special audit and make a decision on whether to affect the effectiveness of the management system;

c) 对认证资格被暂停的客户进行追踪。AQC 的客户服务部门应关注被暂停的客户, 尽快通过特殊审核跟踪其为消除导致暂停原因所采取的措施的实施情况, 以便恢复其认证资格。

Track customers whose certification qualification is suspended. AQC's customer service department shall pay attention to the suspended customers and track the implementation of the measures taken to eliminate the causes of suspension through special audit as soon as possible, so as to restore their certification qualification.

d) 获证组织认证范围内的产品或服务在国抽中被查出不合格时, 自市场监管部门发出通报 30 日内, AQC 应对该获证组织实施提前较短时间的通知的审核。

If the products or services within the certification scope of a certified organization are found unqualified in national random inspections, AQC shall conduct a short-notice audit on the certified organization within 30 days upon the issuance of the circular by the market supervision authority.

安排特殊审核时, 由于客户缺乏对审核组成员的任命表示反对的机会, AQC 在策划该审核时会更多关注审核组组成。

When arranging a special audit, AQC will pay more attention to the composition of the audit team when planning the audit due to the lack of opportunities for customers to object to the appointment of audit team members.

7 认证证书的转换 Conversion of certification certificate

7.1 只有国际认可论坛 (IAF) 多边承认协议 (MLA) 签约机构所认可的认证才有资格进行转换。如果组织所获的认证未经任何 IAF MLA 签约机构认可, AQC 作为新客户予以对待。同时在中国大陆境内的认证证书转换还需满足中国认证认可协会 (简称 CCAA) 的要求。

Only the certification recognized by the signing body of the multilateral recognition agreement (MLA) of the International Accreditation Forum (IAF) is eligible for conversion. If the certification obtained by the organization is not recognized by any IAF MLA contracting authority, AQC will be treated as a new customer. Meanwhile, the certification certificate conversion in China Chinese mainland needs to meet the requirements of the China Certification and Accreditation Association (CCAA).

证书颁发日期为转换决定批准日期, 其认证有效期仍然维持原发证机构的认证有效期及其相应的监督/再认证时间间隔。

The issuance date of the certificate is the approval date of the conversion decision, and its certification

validity period still maintains the certification validity period of the original issuing authority and its corresponding supervision / recertification time interval.

8 认证证书的暂停、缩小范围、撤销和注销

Suspension, restriction, revocation, and cancellation of certification certificates

8.1 暂停证书 Suspend certificate

8.1.1 获证组织有以下情形之一的（但不限于），AQC 应在调查核实后的 5 个工作日内暂停其认证证书。

In case of any of the following circumstances (but not limited to), AQC shall suspend its certification certificate within 5 working days after investigation and verification.

a) 管理体系持续或严重不满足认证要求，包括文件与获证组织实际业务运作严重脱离的。

The management system fails to meet the certification requirements continuously or seriously, including situations where the documents are severely divorced from the actual business operations of the certified organization.

b) 不承担、履行认证合同约定的责任和义务的。

Failing to undertake or perform the responsibilities and obligations agreed in the certification contract.

c) 被有关执法监管部门责令停业整顿的。

Being ordered to suspend business for rectification by the relevant law enforcement and regulatory authorities.

d) 不满足适用法律法规要求，未采取有效纠正措施的

Failing to meet the requirements of applicable laws and regulations, and not having implemented effective corrective measures

e) 受到相关行政处罚，尚未完成整改的

Having received relevant administrative penalties and not yet completed the required rectifications

f) 发生重大质量事故、环境污染事故、安全事故、人身伤亡、食品安全事故、信息安全事故等，反映获证组织管理体系存在重大缺陷的；

Where major quality accidents, environmental pollution accidents, safety accidents, personal injuries and deaths, food safety accidents, information security accidents and other incidents occur, which reflect major defects existing in the management system of the certified organization;

g) 拒绝配合市场监管部门执法监督检查，或者提供虚假材料或信息的；

Refusing to cooperate with market regulatory authorities in law enforcement inspections, or providing false materials or information;

h) 不能按照规定时间间隔接受监督审核的；

Failing to undergo supervision and audit at the prescribed time intervals;

i) 未按相关规定正确引用和宣传获得的认证证书和有关信息，包括认证证书和认证标志的使用；

Failure to properly cite and promote the obtained certification certificates and related information in accordance with relevant regulations, including the use of certification certificates and certification marks;

j) 持有的与管理体系范围有关的行政许可证明、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 license certificate, qualification certificate and compulsory certification certificate related to the scope of the management system have expired, and the resubmitted application has been accepted but has not been replaced.

k) 主动请求暂停的。

Active request for suspension.

l) 其他应当暂停认证证书的。

Other that should suspend the certification certificate.

8.1.2 对暂停认证资格的客户 AQC 将发出书面暂停通知书, 并以适当方式公开暂停认证证书的信息, 明确暂停的起始日期和暂停期限, 并声明在暂停期间获证组织不得以任何方式使用认证证书、认证标识或引用认证信息。

For customers whose certification qualification is suspended, AQC will issue a written suspension notice, disclose the information of the suspended certification certificate in an appropriate manner, specify the starting date and duration of the suspension, and state that the certified organization shall not use the certification certificate, certification mark or reference the certification information in any way during the suspension.

8.1.3 认证证书暂停期不得超过 6 个月。但属于本规章 8.1.1 第 j) 项情形的暂停期可至相关单位作出许可决定之日。在暂停期间, 客户的管理体系认证暂时无效, 客户在接到通知后, 应立即停止使用任何引用认证资格的广告材料。

The suspension period of certification certificate shall not exceed 6 months. However, in case of item d) of 8.1.1 of these regulations, the suspension period may be until the date when the relevant unit makes the permission decision. During the suspension period, the customer's management system certification is temporarily invalid. After receiving the notice, the customer shall immediately stop using any advertising materials quoting the certification qualification.

8.1.4 恢复认证资格应接受一次审核以证明其管理体系已具备标准的要求, 从而恢复其认证资格, 可以恢复使用认证证书和标志.该审核可以结合正常的监督活动进行。

Restoration of certification qualification shall be subject to an audit to prove that its management system has met the standard requirements, so as to restore its certification qualification, and the certification certificate and mark can be restored The audit can be conducted in combination with normal supervision activities.

8.1.5 如果客户未能在 AQC 规定的时限内解决造成暂停的问题, AQC 撤销或缩小其认证范围并以书面形式告知客户, 并以适当方式公开相关信息, 明确其缩小后的认证范围。

If the customer fails to solve the problem causing the suspension within the time limit specified by AQC, AQC will revoke or reduce its certification scope, inform the customer in writing, and disclose relevant information in an appropriate way to clarify its reduced certification scope.

8.2 缩小认证范围 Narrow the scope of certification

8.2.1 AQC 在正常的监督/再认证审核时如发现获证客户的审核范围与认证证书不符、审核计划中规定的部分审核范围没有生产工作现场, 审核组可缩小认证范围, 并在审核报告中说明, 审核结束后, 经 AQC 审定, 总经理批准后, 缩小认证范围并更换认证证书。

During the normal supervision / re-certification audit, if AQC finds that the audit scope of the certified customer is inconsistent with the certification certificate, and some of the audit scope specified in the audit plan does not have a production site, the audit team can reduce the certification scope and explain it in the audit report.

After the audit, after being reviewed by AQC and approved by the general manager, the certification scope can be reduced and the certification certificate can be replaced.

8.2.2 AQC 通过非例行监督审核或通过相关社会信息发现获证客户的部分认证范围不能满足法律、法规或标准要求时, 经 AQC 核实、审定, 总经理批准后, 缩小认证范围并更换认证证书。

When AQC finds that part of the certification scope of certified customers cannot meet the requirements of laws, regulations or standards through non routine supervision and audit or relevant social information, AQC shall narrow the certification scope and replace the certification certificate after verification and approval by AQC and approval by the general manager.

8.2.3 获证客户欲缩小认证范围时, 应及时向 AQC 提交书面报告, 说明缩小范围的原因, AQC 接到获证客户报告后, 经 AQC 审定, 总经理批准, 缩小认证范围并更换认证证书。

When the certified customer wants to reduce the scope of certification, it shall submit a written report to AQC in time to explain the reasons for the reduction. After AQC receives the certified customer's report, it shall reduce the scope of certification and replace the certification certificate after being reviewed by AQC and approved by the general manager.

8.2.4 如客户在认证范围的某些部分持续地严重地不满足认证要求 AQC 在审核确认后将缩小客户的认证范围, 以排除不满足要求的部分, 认证范围的缩小应与认证标准的要求一致。

If the customer continues to seriously fail to meet the certification requirements in some parts of the certification scope, AQC will reduce the customer's certification scope after review and confirmation to exclude the parts that do not meet the requirements. The reduction of the certification scope shall be consistent with the requirements of the certification standard.

8.2.5 AQC 将缩小其认证范围并以书面形式告知客户, 并在 AQC 的官方网站和中国国家认证认可委员会 (简称 CNCA) 的官方网站上更新其状态。

AQC will narrow its certification scope and inform customers in writing, and update its status on AQC's official website and the official website of China National Certification and Accreditation Commission (CNCA).

8.3 撤销证书 Revocation of certificate

8.3.1 获证组织有以下情形之一的, AQC 在获得相关信息并调查核实后 5 个工作日内撤销其认证证书, 并保留相应证据。

If a certified organization falls under any of the following circumstances, AQC shall revoke its certification certificate within 5 working days after obtaining the relevant information and conducting an investigation and verification, while retaining the corresponding evidence.

a) 被注销或撤销法律地位证明文件的。

The legal status certificate is canceled or revoked.

b) 被“国家企业信用公示系统”和“信用中国”列入严重违法失信名单的;

It has been listed in the list of serious dishonest enterprises of quality credit by the State Administration of quality supervision, inspection and quarantine

c) 出现重大的产品和服务等质量安全事故, 环境污染或者生产安全事故经执法监管部门确认是获证组织违规造成的。

Major quality and safety incidents involving products or services, environmental pollution, or production safety accidents have been confirmed by regulatory authorities to result from violations by the certified

organization.

d) 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(包括持有的与管理体系范围有关的行政许可证明、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 suspension period for the certification has expired, but the underlying cause of the suspension remains unresolved or uncorrected (including expired administrative licensing documents, qualification certificates, or mandatory certification certificates related to the management system scope that were submitted without approval).

e) 有其他严重违法违反法律法规行为的。

Other serious violations of laws and regulations.

f) 没有运行管理体系或者已不具备运行条件的。

There is no operation management system or no operation conditions.

g) 其他应当撤销认证证书的。

Other circumstances in which the certification certificate should be revoked.

8.3.2 AQC 做出撤销决定时, 以书面的形式通知获证客户, 并及时收回撤销的认证证书, 客户应在收到撤销通知的 10 个工作日内, 主动将认证证书交还 AQC。若无法收回, 应及时在相关媒体和网站上公布或声明撤销决定。

When AQC makes the decision of revocation, it shall notify the certified customer in writing and withdraw the revoked certification certificate in time. The customer shall take the initiative to return the certification certificate to AQC within 10 working days after receiving the revocation notice. If it cannot be recovered, the cancellation decision shall be published or announced on relevant media and websites in time.

上公布相关信息, 同时按规定程序和要求报国家认监委。

Relevant information shall be published on the website and reported to the CNCA according to the specified procedures and requirements.

8.3.3 AQC 应采取有效措施避免各类无效的认证证书和认证标志被继续使用。

AQC shall take effective measures to avoid the continued use of various invalid certification certificates and certification marks.

8.4 注销证书 Cancel Certificate

获证组织自动申请不再保持认证证书时, AQC 再确认获证组织不存在暂停或撤销的情形后, 注销其认证证书, 并保留证据。

When a certified organization automatically applies to withdraw its certification, AQC shall verify that no suspension or revocation circumstances exist before canceling the certification and retaining relevant evidence.

AQC 注销证书后, 以书面的形式通知获证客户, 并及时收回被注销的认证证书, 客户应在收到注销通知的 10 个工作日内, 主动将认证证书交还 AQC。若无法收回, 应及时在相关媒体和网站上公布或声明注销信息。

After canceling an AQC certification certificate, the certifying authority shall notify the certified client in writing and promptly recover the revoked certificate. The client must return the certification certificate to AQC within 10 working days of receiving the cancellation notice. If recovery is not possible, the cancellation information shall be promptly published or announced through relevant media and websites.

上公布相关信息, 同时按规定程序和要求报国家认监委。

Relevant information shall be published on the website and reported to the CNCA according to the specified procedures and requirements.

9 认证证书 Certification certificate

AQC 完成了所有的认证过程收到客户按照双方合同约定的方式缴纳了相关认证费用后, AQC 应颁发标明该客户的认证范围, 授予认证、扩大或缩小认证范围、更新认证的生效日期, 证书编号的认证证书。证书应当结合适用的认可标志。证书和审核报告为 AQC 财产, 根据要求, 不管出于何种原因停止注册资格, 客户应将认证证书归还 AQC。

After AQC has completed all the certification processes and received the relevant certification fees paid by the customer in the manner agreed by both parties in the contract, AQC shall issue a certification certificate indicating the certification scope of the customer, the effective date of awarding the certification, expanding or reducing the certification scope and updating the certification, and the certificate number. The certificate shall be combined with the applicable approval mark. The certificate and audit report are the property of AQC. Upon request, the customer shall return the certificate to AQC regardless of the reason for stopping the registration qualification.



附件 1: 认证流程



