


华认标准技术服务（苏州）有限公司
CCATS (SuZhou) Co., Ltd

公开文件-保密性管理规定

Management review procedure

制定修订 Formulate or modify			修订内容摘要 Revision Summary	制定 Formulated	审核 Checked	核准 Approved
修订日期 Date	版 Versions	次 No.				
2018 年 6 月 1 日	A	0	新发行	马兵兵	马兵兵	薛庄

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1.目的 purpose

遵照有关法律法规,对CCATS在认证活动中获得的信息保密,以保护受审核方或委托人的权益及维护CCATS的信誉。We assure all information got from assessment process will be kept absolutely confidential, for protecting supplier and application' s right and interest and also company' s reputation.

2 范围 Scope

本规定适用于CCATS所有人员(含管理委员会委员、以CCATS名义工作的外部人员)。
This document is applicable to all CCATS staff(contain management committee, work in the name of CCATS)

3 职责 Responsibility


CCATS总部、及办事处负责实施,相关主管人员有责任保证本规定的有效执行。All AERS staff should keep this document be carried out smoothly.

4 规定Provision

4.1 须保密的信息包括: Following information must be keep confidential.

- a) 申请人提交的资料及文件; Submitted material and document of application.
- b) 审核中所获取的有关信息、不合格项报告、审核报告及相关记录; Reference information, non-conformity report, assessment report and reference record.
- c) 申请人要求进行保密的信息; Application required information.
- d) 本机构管理体系文件及有关的信息; our company' s document and reference information.
- e) 不是来自于客户(例如投诉者或法规管理者)有关客户之信息Other information not from customer, such as complainer and legal supervisor
- f) 涉及保密的其他信息。Other information related the confidentiality

4.2 保密安排Arrangement of confidentiality

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4.2.1 CCATS总部及办事处，应妥善保管4.1的文件、资料与记录，并将其放置在专属文件柜内，任何人不得抄录复制，也不得在任何场合以任何方式扩散和传播。CCATS headquarters and site offices should be properly kept 4.1 documents, materials and records, and place them in the appointed file cabinets, nobody can copy or diffuse and spread in any way on any occasion

4.2.2 非认证活动需要，未经批准，所有人员不得将需保密的信息私自从工作场所带出。Without approval, all staff shall not be allowed to carry confidential information out from workplace, except for assessment need.

4.2.3 进行现场审核时，审核组组长应向被审核方申明本机构的保密规定。Assessor leader shall declare company's confidential rules to customer when perform on-site assessment.

4.2.4 审核组所有成员，在现场审核中借用的各类文件和资料，待审核结束必须全数还清，不得留做他用。To all assessors, all materials and documents used in assessment activity shall be returned after on-site assessment, can't be used for other purpose.


4.2.5 审核组所有成员，在现场审核时不得以个人名义向被审核方索取任何文件和资料。

to all assessors, can't request any document and material in name of personal.

4.2.6 对认证审核所了解的被审核方管理及技术资料严格保密。keep confidential for all management and technical document of customer.

4.2.7 在体系记录的识别、管理和处理过程中应注意资料的保密性。keep confidential for information when input in CCATS work system

4.2.8 审核组组长应在末次会议上向被审核方告知该组织的相关证书信息将被放在CCATS网站上向社会公开，证书信息包括客户（或多场所认证范围内之总部及任何场区的地理位置）之名称、相关的规范性文件、范围及地理位置。所有其他信息，除了客户可以公开之信息以外，都将予以保密。Assessor leader should inform the customer in the last meeting that relevant certificate information will be placed on CCATS website publicly. Certificate information including customer's company name

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(or multiple sites are within the scope of assessment by headquarters and any area location) , relevant regulatory documents, scope, and geographic location. All other information will be confidential except assessed company permit to public.

4.2.9 披露保密信息的注意事项：Note for the disclosure of confidential information:

- a) 当由于工作需要需将机密信息提供给其他认证机构、同行评审方案之协议团体时，应将此项措施通知其客户，并得到客户书面同意。When the confidential information must be provided to other certification bodies, peer group assessment scheme of the agreement, shall notify the activity to the customer, and get the official permission of the customer.
- b) 当在履行法定责任时需要提供客户之机密信息时除非法律另有规定，否则应将所提供之信息预先通知相关客户或个人。When fulfill the legal responsibility, need provide the confidential information of the customer, should notice related customers or person, unless defined in law provision.

4.3 保密承诺confidentiality commitment


4.3.1 CCATS所有人员均应签署《公正性与保密承诺书》，并对接触的有关信息予以保密。

CCATS all staff should sign the 《fairness and confidentiality commitment 》, and assure keeping relevant information confidential.

4.3.2 参与审核之相关人员在参加审核前应做出公正性承诺。all relevant participate in the assessment should commit the fairness before perform the assessment.

4.3.3 在认证活动中，为避免兼职的审核员或专家与申请人（或已认证的受审核方）存在利害关系，应事先向申请人提供兼职人员的专业背景资料和所在机构的信息，以征得申请人的同意。否则，兼职人员应回避参与相关认证活动或不能接触有关文件与资料。

During the assessment performance, for avoiding external assessor or expert have interest relationship with the customer, shall notify the customer, and

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provide external personnel's professional background and the organization's information to the customer. Otherwise, the external personnel can't perform the assessment or avoid contacting relevant documents and materials.

4.4 凡违反本规定而造成后果，由责任人负责。CCATS总部将根据情节轻重给予其行政处分直至追究法律责任。Whoever in violation of these provisions and cause consequences shall undertake the responsibility. CCATS headquarters will punish the responsible person and investigate legal responsibility.