CCATS®

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

公开文件—管理体系认证流程基本规定
Management system certification process basic regulations

制定修订 Formulate or modify			修订内容摘要 Revision Summary	制定 Formulated	审核 Checked	核准 Approved
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2018 年 6 月 1 日	A	0	新发行 New Issue	马兵兵	薛庄.	薛庄.
2020年4月 10 日	A	1	4.10 再认证审核 Re-certification audit 证书到期前一个月，获证方若需继续保持证书，由原来的提交申请书、签订合同改为双方协商后，签订《认证合约书》One month before the expiration of the certificate, if the certificate needs to continue to maintain the certificate, from the original submission of application, signed a contract to the two sides after negotiation, signed the *Certification Contract*	徐月辉	高昆嶪	高昆嶪
管制文件禁止私自影印 Control documents are prohibited from photocopying						

1. 目的 Purpose

为了让拟申请管理体系认证的组织（以下称组织或受审核组织）了解管理体系的认证程序，特制定本说明。In order for the organization to be applied for the validation of the management system to understand the certification procedures of the management system, make this statement.

2.适用范围 Scope

适用于各拟申请管理体系认证的各组织了解认证程序。Applicable to each organization to apply for the certification of the management system.

3.申请认证条件 Application certification conditions

3.1 组织应持有工商行政管理部门核发的营业执照、有关许可证书完备（法规要求时）。The organization shall hold a business license issued by the administrative department for Industry and commerce, and complete the relevant license (if required by law) .

3.2 按照适宜的管理体系标准建立并运行体系至少 3 个月。Set up and operate the system according to the appropriate management system standards for at least 3 months.

3.3 产品／服务质量稳定，能正常批量生产／服务。Product / service quality is stable, able to mass production / service.

3.4 遵纪守法、二年内未发生过重大质量和环境、职业健康安全与食品安全事故。Abide by the law, two years have not occurred in major quality and environmental protection, occupational safety and health and food safety incidents.

4.认证程序 Certification procedures

4.1 询问组织可通过电话、函件或面谈向公司询问了解有关管理体系认证的程序及有关情况，索取资料。Ask the organization through the telephone, letter or interview to the company to ask about the management system certification procedures and relevant information, for information.

4.2 认证申请 Certification application

4.2.1 组织了解公司情况后，可填写公司印制的《认证申请表》，并提供申请表要求的完整附件资料，交公司市场部。Organization to understand CCATS situation, you can fill out the CCATS's printed *Certification Application Form*, and provide the application form of the full annex information, to the CCATS's marketing department.

4.2.2 由公司对申请表进行评审，符合要求（包括公司有能力认证）根据公司收费标准确定费用，经双方协商签订认证合约，不能接受的需向申请组织说明原因。By CCATS on the application for review, to meet the requirements (including the CCATS's ability to determine the cost

of certification) according to CCATS charges, after consultation between the two sides signed a contract certification, cannot accept the need to explain the reasons for the organization.

4.3 收费 Charges

4.3.1 在第一阶段审核前一周内，组织应将管理体系认证初审费用电汇或支票转帐公司财务。财务确定款项到帐后，即可开具相应的发票给组织。Within one week prior to the stage 1 audit, the organization shall verify the management system for the initial cost of the wire transfer or check transfer to the finance of CCATS. Finance to determine the amount of money to the account, you can issue a corresponding invoice to the organization.

4.4 第一阶段审核（含现场的文件审核）The stage 1 audit (including on-site document audit)

4.4.1 由审核组长组织进行第一阶段审核的主要目的是了解组织管理体系运行的整体策划情况、文件的符合性、审核范围、组织规模、审核资源与条件等，并确定第二阶段审核的可行性。By the audit team leader organization for the stage 1 audit is to understand the overall planning, organization and management of file system operation compliance, audit scope, audit organization scale, resources and conditions, and to determine the feasibility of the stage 2 audit.

4.4.2 第一阶段审核可以是在组织的现场完成。按具体情况，也可以在非现场完成。不在现场进行的第一阶段详见《审核人日确定准则》的文件规定。The stage 1 audit can be done on the site of the organization. For the stage 1 not carried out on site, see the document provisions of *Audit man-day calculation criteria.*

4.5 第二阶段审核 The stage 2 audit

4.5.1 审核计划 Audit Plan

审核组长在认证组织的第一阶段的不符合完成纠正并验证符合要求后，在第二阶段现场审核前将审核计划发送给组织，组织可以对审核组组成，日程安排提出意见，并需签字确认。The stage 1 in the certification organization audit leader does not comply with the completion of corrective and verified to meet the requirements, in the stage 2 audit before the protracted nuclear program sent to the organization, the organization can form of audit group, schedule comments, and signature.

4.5.2 现场审核 Site audit

4.5.2.1 审核组应准时达到受审核方，并与客户代表沟通审核有关事项。The audit team shall reach the receiving party on time and communicate with the client representative for the audit.

4.5.2.2 首次会议：首次会议由组长主持。时间不超过半小时。The opening meeting: the opening meeting chaired by the group leader. No more than half an hour.

4.5.2.3 现场审核：按预定计划进行。现场需要调整计划可与审核组组长协商。Site audit: as

scheduled. The site needs to be adjusted with the audit team leader.

4.5.2.4 中间会议：每天审核结束，审核组召开内部会议，若出现重大不合格（严重不合格），审核组会召集组织领导层召开临时会议。末次会议之前审核组与组织领导交换意见。Intermediate meeting: the end of each audit, the audit team held an internal meeting, if there is a major failure (serious failure), the audit team will convene an interim meeting of the organization leadership. Before the meeting, the audit team and the organization leaders exchanged views.

4.5.2.5 在召开末次会议前，审核组长制作审核报告，并请受审核组织客户代表确认签字或盖公章。Before the closing meeting, the audit team leader shall prepare an audit report and ask the client representative of the audited organization to confirm and sign or stamp the official seal.

4.5.2.6 末次会议：由审核组长主持。依照审核报告等资料报告组织管理体系运行的整体情况、存在问题、审核结论等。The closing meeting: hosted by the audit team leader. According to the audit report and other information to report the overall situation of the organization management system, problems, audit conclusions, etc..

4.5.2.7 审核结论：现场审核结论分为推荐、有条件推荐、不推荐三种（详细说明均会在审核会议上说明）。Audit conclusion: on-site audit conclusions are divided into three kinds of recommendation, conditional recommendation, not recommended (detailed instructions will be described in the audit conference).

4.5.2.8 纠正要求：组织应对审核组提出的书面不符合，予以改正并采取纠正措施，并将书面纠正和措施实施的资料报公司审议。Correction requirements: the organization shall submit to the audit team the written non conformity, correction and corrective action shall be taken, and the implementation of corrective measures and the information submitted to CCATS.

4.6 认证决定与审议 Certification decisions and considerations

4.6.1 公司组织有能力的认证人员对审核组提供的审核文件进行体系评价与审议。对通过审议的，将提报总经理做认证决定并予以注册。The qualified members of the organization shall conduct a systematic review and review of the audit documents provided by the audit team. In the case of deliberation, the general manager shall be submitted to the general manager for certification and registration.

4.7 认证决定并予以注册 Certification and registration

4.7.1 认证决定人员负责做最终的认证审定与注册。批准后 CCATS 公司将在 20 个工作日内可发放相关的认证证书,有关证书和标志的使用详见具体详见《公开文件-获证组织需知》。The certification personnel are responsible for final certification and registration. After the approval of

the CCATS will be issued within 20 working days of the relevant certificate of certification, the use of the relevant certificates and logos are detailed in the *Certification organizations need to know.*

4.7.2 公司将对获证组织在公司网站上公开。CCATS will be organized on the company's website.

4.8 通报制度 Notification system

4.8.1 获证组织在获得证书后，当体系发生变化，包括文件修改、人员变动、质量、环境事故、职业健康安全事故、食品安全卫生事故、重大顾客投诉等，均须以书面方式向公司审核部通报。The certificate in the certificate, when the system changes, including file changes, changes in personnel, quality, environment, occupation health and safety accidents, accidents of food safety accidents, major client complaints, shall be in writing to CCATS informed the audit department.

4.9 监督 Surveillance audit

再认证的年度除外，至少每个日历年应进行一次监督。初次认证之后第一次监督的日期，自认证决定当日起不应超过12个月。Except for the year of Re certification, at least one calendar year audit shall be conducted for each calendar year. The date of the first surveillance audit after the initial certification shall not exceed 12 months from the date of the decision.

4.10 再认证审核 Re-certification audit

证书有效期为三年，在证书到期前至少 1 个月，获证方若需继续保持证书，可与公司市场部联系，通过协商后，签订《认证合约书》。审核安排及方式与初审相同。The term of validity of the certificate is three years. If the licensee needs to keep the certificate at least one month before the expiration of the certificate, you can contact the Marketing Department of CCATS and sign the *Certification Contract* after negotiation.The audit arrangement and method are the same as the initial audit.