



Occupational health and safety management systems

Certification Rules

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1.目的 General

为规范职业健康安全管理体系认证活动，提高认证有效性，促进职业健康安全管理体系认证工作健康发展，特制定本规则。These Rules are formulated to standardize the certification activities of occupational health management system, improve the effectiveness of certification, and promote the healthy development of occupational health management system certification.

2. 适用范围 Scope

2.1 本规则用于规范依据 GB/T 45001/ISO 45001《职业健康安全管理体系要求及使用指南》标准在中国境内开展的职业健康安全管理体系认证活动。The Rules are used to regulate the certification of occupational health and safety management system in China in accordance with GB/T 45001/ISO 45001 *Occupational health and safety management systems Requirements with guidance for use*.

2.3 本规则是职业健康安全管理体系认证活动中的基本要求，CCATS 在该项认证活动中应当遵守本规则。These Rules are the basic requirements for CCATS in the certification activities of occupational health and safety management system, and relevant bodies shall comply with these Rules in this certification activity.

3. 对 CCATS 的基本要求 Basic requirements for CCATS

3.1 获得国家认监委批准、取得从事职业健康安全管理体系认证的资质。Approved by CNCA and qualified for occupational health and safety management system certification.

3.2 认证能力、内部管理和工作体系符合 GB/T 27021/ISO/IEC 17021-1《合格评定管理体系审核认证机构要求》。The certification capability, internal management and work system shall comply with GB/T 27021/ISO/IEC 17021-1 *Conformity assessment-Requirements for bodies providing audit and certification of management systems*.

3.3 建立内部制约、监督和责任机制，实现培训（包括相关增值服务）、审核和作出认证决定等工作环节相互分开，符合认证公正性要求。Establish internal restriction, supervision and responsibility mechanisms to separate training (including relevant value-added services), audit and certification decisions from each other, meeting the requirements of certification fairness.

3.4 鼓励 CCATS 通过国家认监委确定的认可机构的认可，证明其认证能力、内部管理和工作体系符合 GB/T 27021/ISO/IEC 17021-1《合格评定管理体系审核认证机构要求》。The

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CCATS are encouraged to pass the accreditation of the accreditation bodies determined by the CNCA to prove that their certification capabilities, internal management and working systems comply with the requirements of GB/T 27,021/ISO/IEC 17,021-1 *Conformity assessment-Requirements for bodies providing audit and certification of management systems*.

3.5 不得将申请认证的组织（以下简称申请组织）是否获得认证与参与认证审核的审核员及其他人员的薪酬挂钩。It is not allowed to link whether the organization applying for certification (hereinafter referred to as the applicant organization) has obtained certification with the remuneration of auditors and other personnel participating in certification audit.

4. 对认证审核人员的基本要求 Basic requirements for certification auditors

4.1 认证审核员应当取得国家认监委确定的认证人员注册机构颁发的职业健康安全管理体系审核员注册资格。The certification auditor shall obtain the registration qualification of the auditor of the occupational health and safety management system issued by the certification personnel registration authority determined by the CNCA.

4.2 认证人员应当遵守与从业相关的法律法规，对认证审核活动及相关认证审核记录和认证审核报告的真实性承担相应的法律责任。The certification personnel shall abide by the laws and regulations related to their work, and bear the corresponding legal responsibility for the authenticity of the certification audit activities, relevant certification audit records and certification audit reports.

5. 初次认证程序 Initial certification procedure

5.1 受理认证申请 Accept the certification application

5.1.1 CCATS 应向申请组织至少公开以下信息：CCATS shall disclose at least the following information to the applicant organization:

(1) 可开展认证业务的范围，以及获得认可的情况。The scope of certification business and the accreditation.

(2) 本规则的完整内容。The complete content of this rule.

(3) 认证证书样式。Type of certificate.

(4) 对认证过程的申诉规定。Provisions on application and complaint of certification process.

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5.1.2 CCATS 应当要求申请组织至少提交以下资料：CCATS shall require the applicant organization to submit at least the following materials:

(1) 认证申请书，申请书应包括申请认证的生产、经营或服务活动范围及活动情况的说明。The certification application, which shall include the description of the scope of production, business or service activities and the situation of the activities.

(2) 法律地位的证明文件的复印件。若职业健康安全管理体系覆盖多场所活动，应附每个场所的法律地位证明文件的复印件（适用时）。A copy of the legal status certificate. If the occupational health and safety management system covers activities in multiple places, a copy of the legal status certificate of each place shall be attached (if applicable).

(3) 职业健康安全管理体系覆盖的活动所涉及法律法规要求的行政许可证明、资质证书、强制性认证证书等的复印件。Copies of administrative license, qualification certificate, compulsory certification, etc. required by laws and regulations involved in activities covered by the occupational health and safety management system.

(4) 职业健康安全管理体系成文信息（适用时）。Documented information of occupational health and safety management system (if applicable).

5.1.3 CCATS 应对申请组织提交的申请资料进行评审，根据申请认证的活动范围及场所、员工人数、完成审核所需时间和其他影响认证活动的因素，综合确定是否有能力受理认证申请。CCATS shall review the application materials submitted by the applicant organization, and comprehensively determine whether it has the ability to accept the certification application according to the scope and place of the application, the number of employees, the time required to complete the audit and other factors affecting the certification activities.

对被执法监管部门责令停业整顿或在全国企业信用信息公示系统中被列入“严重违法企业名单”的申请组织，CCATS 不应受理其认证申请。CCATS shall not accept the certification application of the applicant organization that is ordered by the law enforcement supervision department to suspend business for rectification or listed in the "List of Serious Illegal Enterprises" in the national enterprise credit information publicity system.

5.1.4 对符合 5.1.2、5.1.3 要求的，CCATS 可决定受理认证申请；对不符合上述要求的，CCATS 应通知申请组织补充和完善，或者不受理认证申请。For those meeting the requirements

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of 5.1.2 and 5.1.3, CCATS may decide to accept the certification application; If the above requirements are not met, CCATS shall notify the applicant organization to supplement and improve, or reject the certification application.

5.1.5 签订认证合同 Sign certification contract

在实施认证审核前，CCATS 应与申请组织订立具有法律效力的书面认证合同，合同应至少包含以下内容： Prior to the implementation of certification audit, CCATS shall conclude a legally effective written certification contract with the applicant organization, which shall at least include the following contents:

(1) 申请组织获得认证后持续有效运行职业健康安全管理体系的承诺。The applicant organization's commitment to continuously and effectively operate the occupational health and safety management system after obtaining certification.

(2) 申请组织对遵守认证认可相关法律法规，协助认证监管部门的监督检查，对有关事项的询问和调查如实提供相关材料和信息的承诺。The applicant organization's commitment to comply with the relevant laws and regulations on certification and accreditation, assist the certification regulatory authority in supervision and inspection, and truthfully provide relevant materials and information for the inquiry and investigation of relevant matters.

(3) 申请组织承诺获得认证后发生以下情况时，应及时向 CCATS 通报：The applicant organization shall report to CCATS in a timely manner in case of any of the following situations after the certification:

①客户及相关方有重大投诉。There are major complaints from clients and interested parties.

②生产、销售的产品或提供的服务被质量或市场监管部门认定不合格。The products produced and sold or the services provided are deemed unqualified by the quality or market supervision department.

③发生产品和服务的质量安全事故。Quality and safety accidents of products and services occur.

④相关情况发生变更，包括：法律地位、生产经营状况、组织状态或所有权变更；取得的行政许可资格、强制性认证或其他资质证书变更；法定代表人、最高管理者变更；生产经营或服务的工作场所变更；职业健康安全管理体系覆盖的活动范围变更；职业健康安全管理

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体系和重要过程的重大变更等。Changes in relevant circumstances, including changes in legal status, production and operation status, organizational status or ownership; Change of administrative licensing qualification, compulsory certification or other qualification certificates obtained; Change of legal representative and top management; Change of workplace for production, operation or service; Changes in the scope of activities covered by the occupational health and safety management system; Major changes in occupational health and safety management system and important processes.

⑤出现影响职业健康安全管理体系运行的其他重要情况。Other important situations that affect the operation of the occupational health and safety management system.

（4）申请组织承诺获得认证后正确使用认证证书、认证标志和有关信息，不利用职业健康安全管理体系认证证书和相关文字、符号误导公众认为其产品或服务通过认证。The applicant organization promises to correctly use the certification certificate, certification mark and relevant information after obtaining the certification, and will not mislead the public into believing that its products or services have passed the certification by using the occupational health and safety management system certification certificate and relevant words and symbols.

（5）拟认证的职业健康安全管理体系覆盖的生产或服务的活动范围。The scope of production or service activities covered by the occupational health and safety management system to be certified.

（6）在认证审核实施过程及认证证书有效期内，CCATS 和申请组织各自应当承担的责任、权利和义务。The responsibilities, rights and obligations of CCATS and the applicant organization during the implementation of the certification audit and the period of validity of the certification certificate.

（7）认证服务的费用、付费方式及违约条款。Fees, payment methods and default clauses of certification services.

5.2 审核策划 Audit planning

5.2.1 审核时间 Audit time

5.2.1.1 为确保认证审核的完整有效，CCATS 应以附录 A 所规定的审核时间为基础，根据申请组织职业健康安全管理体系覆盖的活动范围、特性、技术复杂程度、质量安全风险程度、

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认证要求和体系覆盖范围内的有效人数等情况，核算并拟定完成审核工作需要的时间。在特殊情况下，可以减少审核时间，但减少的时间不得超过附录 A 所规定的审核时间的 30%。In order to ensure the integrity and effectiveness of the certification audit, CCATS shall, based on the audit time specified in Appendix A, calculate and determine the time required to complete the audit according to the scope of activities, characteristics, technical complexity, quality and safety risk degree, certification requirements, and the number of effective people within the scope of the system covered by the application organization's occupational health and safety management system. Under special circumstances, the audit time can be reduced, but the reduced time shall not exceed 30% of the audit time specified in Appendix A.

5.2.1.2 整个审核时间中，现场审核时间不应少于总审核时间的 80%。In the whole audit time, the on-site audit time shall not be less than 80% of the total audit time.

5.2.2 审核组 Audit team

5.2.2.1 CCATS 应当根据职业健康安全管理体系覆盖的活动的专业技术领域选择具备相关能力的审核员组成审核组，必要时可以选择技术专家参加审核组。审核组中的审核员承担审核任务和责任。CCATS shall select auditors with relevant capabilities to form an audit team according to the professional and technical fields of activities covered by the occupational health and safety management system, and may select technical experts to participate in the audit team when necessary. The auditors in the audit team shall undertake the audit tasks and responsibilities.

5.2.2.2 技术专家主要负责提供认证审核的技术支持，不作为审核员实施审核，不计入审核时间，其在审核过程中的活动由审核组中的审核员承担责任。The technical experts are mainly responsible for providing technical support for certification audit. They will not conduct the audit as auditors and will not be included in the audit time. The auditors in the audit team will be responsible for their activities in the audit process.

5.2.2.3 审核组可以有实习审核员，其要在审核员的指导下参与审核，不计入审核时间，不单独出具记录等审核文件，其在审核过程中的活动由审核组中的审核员承担责任。The audit team may have trainee auditors, who shall participate in the audit under the guidance of the auditors, shall not be included in the audit time, and shall not issue audit documents such as records separately. The auditors in the audit team shall be responsible for their activities in the audit

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process.

5.2.3 审核计划 Audit plan

5.2.3.1 CCATS 应为每次审核制定书面的审核计划（第一阶段审核不要求正式的审核计划）。审核计划至少包括以下内容：审核目的，审核准则，审核范围，现场审核的日期和场所，现场审核持续时间，审核组成员（其中：审核员应标明认证人员注册号；技术专家应标明专业代码、工作单位及专业技术职称）。CCATS shall formulate a written audit plan for each audit (no formal audit plan is required for the stage 1 audit). The audit plan shall at least include the following contents: audit purpose, audit criteria, audit scope, date and place of on-site audit, duration of on-site audit, and members of the audit team (among which, auditors shall indicate the registration number of certified personnel; technical experts shall indicate the professional code, work unit and professional title).

5.2.3.2 如果职业健康安全管理体系覆盖范围包括在多个场所进行相同或相近的活动，且这些场所都处于申请组织授权和控制下，CCATS 可以在审核中对这些场所进行抽样，但应根据相关要求实施抽样以确保对所抽样本进行的审核对职业健康安全管理体系包含的所有场所具有代表性。如果不同场所的活动存在明显差异、或不同场所间存在可能对职业健康有显著影响的区域性因素，则不能采用抽样审核的方法，应当逐一到各现场进行审核。If the coverage of the occupational health and safety management system includes the same or similar activities in multiple places, and these places are under the authorization and control of the applicant organization, CCATS can sample these places in the audit, but it should implement sampling according to relevant requirements to ensure that the audit of the samples is representative of all places included in the occupational health and safety management system. If there are obvious differences in activities in different places, or there are regional factors that may have a significant impact on occupational health in different places, the method of sampling audit cannot be adopted, and the audit should be carried out at each site one by one.

5.2.3.3 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。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.

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5.2.3.4 在审核活动开始前，审核组应将审核计划交申请组织确认，遇特殊情况临时变更计划时，应及时将变更情况通知申请组织，并协商一致。Before the audit, the audit team shall submit the audit plan to the applicant organization for confirmation. In case of temporary changes to the plan under special circumstances, the applicant organization shall be informed of the changes in time and reach consensus through consultation.

5.3 实施审核 Implementation audit

5.3.1 审核组应当按照审核计划的安排完成审核工作。除不可预见的特殊情况外，审核过程中不得更换审核计划确定的审核员。The audit team shall complete the audit work according to the audit plan. Except for unforeseen special circumstances, the auditor determined in the audit plan shall not be changed during the audit.

5.3.2 审核组应当会同申请组织按照程序顺序召开首、末次会议，申请组织的最高管理者及与职业健康安全管理体系相关的职能部门负责人员应该参加会议。参会人员应签到，审核组应当保留首、末次会议签到表。申请组织要求时，审核组成员应向申请组织出示身份证明文件。The audit team shall, together with the applicant organization, hold the opening and closing meetings in the order of procedure. The top management of the applicant organization and the responsible personnel of the functional departments related to the occupational health and safety management system shall attend the meeting. Participants shall sign in, and the audit team shall keep the sign in forms for the opening and closing meetings. When requested by the applicant organization, the members of the audit team shall show their identity documents to the applicant organization.

5.3.3 审核过程及环节 Audit process and link

5.3.3.1 初次认证审核，分为第一、二阶段实施审核。The initial certification audit is divided into the stage 1 and stage 2.

5.3.3.2 第一阶段审核应至少覆盖以下内容：The stage 1 audit shall at least cover the following contents:

(1) 结合现场情况，确认申请组织实际情况与职业健康安全管理体系成文信息描述的一致性，特别是体系成文信息中描述的产品和服务、部门设置和职责与权限、生产或服务过程等是否与申请组织的实际情况相一致。Confirm the consistency between the actual situation of

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the applicant organization and the documented information description of the occupational health and safety management system, especially whether the products and services described in the documented information of the system, department settings, responsibilities and authorities, production or service processes, etc. are consistent with the actual situation of the applicant organization.

(2) 结合现场情况，审核申请组织理解和实施 GB/T 45001/ISO 45001 标准要求的情况，评价职业健康安全管理体系运行过程中是否实施了内部审核与管理评审，确认职业健康安全管理体系是否已运行并且超过 3 个月。In combination with the site conditions, review the application organization's understanding and implementation of the requirements of GB/T 45001/ISO 45001 standard, evaluate whether the internal audit and management review have been implemented during the operation of the occupational health and safety management system, and confirm whether the occupational health and safety management system has been operated for more than 3 months.

(3) 确认申请组织建立的职业健康安全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 occupational health and safety management system established by the applicant organization, the effective number of people, processes and places covered by the system, and the compliance with applicable laws, regulations and mandatory standards.

(4) 结合职业健康安全管理体系覆盖产品和服务的特点识别对质量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 occupational health and safety management system, identify the key points that have an important impact on the realization of quality objectives, and scientifically determine the important audit points in combination with other factors.

(5) 与申请组织讨论确定第二阶段审核安排。对职业健康安全管理体系成文信息不符合现场实际、相关体系运行尚未超过 3 个月或者无法证明超过 3 个月的，以及其他不具备二阶段审核条件的，不应实施二阶段审核。Discuss with the applicant organization to determine the stage 2 audit arrangement. If the documented information of the occupational health and safety management system does not conform to the actual situation on site, the relevant system has not

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been operated for more than 3 months or cannot be proved for more than 3 months, and other conditions for the stage 2 audit are not met, the stage 2 audit shall not be implemented.

5.3.3.3 在下列情况，第一阶段审核可以不在申请组织现场进行，但应记录未在现场进行的原因：In the following cases, the stage 1 audit may not be conducted on the site of the applicant organization, but the reasons for not being conducted on the site shall be recorded:

(1) 申请组织已获本 CCATS 颁发的其他有效认证证书，CCATS 已对申请组织职业健康安全管理体系有充分了解。The applicant organization has obtained other valid certificates issued by CCATS, and CCATS has fully understood the occupational health and safety management system of the applicant organization.

(2) CCATS 有充足的理由证明申请组织的生产经营或服务的技术特征明显、过程简单，通过对其提交文件和资料的审查可以达到第一阶段审核的目的和要求。CCATS has sufficient reasons to prove that the technical characteristics of the production, operation or service of the applicant organization are obvious and the process is simple. The purpose and requirements of the stage 1 audit can be achieved through the review of the documents and materials submitted.

(3) 申请组织获得了其他经认可机构认可的 CCATS 颁发的有效的职业健康安全管理体系认证证书，通过对其文件和资料的审查可以达到第一阶段审核的目的和要求。The applicant organization has obtained an effective occupational health and safety management system certificate issued by other CCATS recognized by the recognized institutions. The purpose and requirements of the stage 1 audit can be achieved through the review of its documents and data.

除以上情况之外，第一阶段审核应在受审核方的生产经营或服务现场进行。In addition to the above, the stage 1 audit shall be conducted at the production, operation or service site of the auditee.

5.3.3.4 审核组应将第一阶段审核情况形成书面文件告知申请组织。对在第二阶段审核中可能被判定为不符合项的重要关键点，要及时提醒申请组织特别关注。The audit team shall inform the applicant organization of the stage 1 audit in written form. Important key points that may be judged as non conformances in the stage 2 audit shall be timely reminded to the applicant organization to pay special attention.

5.3.3.5 第二阶段审核应当在申请组织现场进行。重点是审核职业健康安全管理体系符合

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GB/T 45001/ISO 45001 标准要求 and 有效运行情况，应至少覆盖以下内容：The stage 2 audit shall be conducted on the site of the applicant organization. The key point is to review the occupational health and safety management system's compliance with the requirements of GB/T 45001/ISO 45001 standard and its effective operation, which shall at least cover the following contents:

(1) 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 stage 1 audit.

(2) 为实现职业健康方针而在相关职能、层次和过程上建立职业健康目标是否具体适用、可测量并得到沟通、监视。Whether the occupational health objectives established in relevant functions, levels and processes are applicable, measurable, communicated and monitored to achieve the occupational health policy.

(3) 对职业健康安全管理体系覆盖的过程和活动的管理及控制情况。Management and control of processes and activities covered by the occupational health and safety management system.

(4) 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 doubts about the authenticity of audit findings shall be recorded and considered when making audit conclusions and certification decisions.

(5) 申请组织的内部审核和管理评审是否有效。Whether the internal audit and management review of the applicant organization are effective.

5.3.4 发生以下情况时，审核组应向 CCATS 报告，经 CCATS 同意后终止审核。In the following cases, the audit team shall report to CCATS and terminate the audit with the approval of CCATS.

(1) 受审核方对审核活动不予配合，审核活动无法进行。The auditee did not cooperate with the audit activities, and the audit activities could not be carried out.

(2) 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 significantly inconsistent with the application materials.

(3) 其他导致审核程序无法完成的情况。Other circumstances that lead to the failure to complete the audit procedure.

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5.4 审核报告 Audit report

5.4.1 审核组应对审核活动形成书面审核报告，由审核组组长签字。审核报告应准确、简明和清晰地描述审核活动的主要内容，至少包括以下内容：The audit team shall prepare a written audit report for the audit activities, which shall be signed by the audit team leader. The audit report shall accurately, concisely and clearly describe the main contents of the audit activities, at least including the following contents:

- (1) 申请组织的名称和地址。Name and address of the applicant organization.
- (2) 申请组织活动范围和场所。Scope and place of activities of the application organization.
- (3) 审核的类型、准则和目的。The type, criteria and purpose of the audit.
- (4) 审核组组长、审核组成员及其个人注册信息。Audit team leader, audit team members and their personal registration information.
- (5) 审核活动的实施日期和地点，包括固定现场和临时现场；对偏离审核计划情况的说明，包括对审核风险及影响审核结论的不确定性的客观陈述。Implementation date and place of audit activities, including fixed site and temporary site; Description of deviations from the audit plan, including objective statements on audit risks and uncertainties affecting audit conclusions.
- (6) 叙述从 5.3 条列明的程序及各项要求的审核工作情况，其中：对 5.3.3.5 条的各项审核要求应逐项描述或引用审核证据、审核发现和审核结论；对职业健康目标和过程及职业健康绩效实现情况进行评价。Describe the audit work of the procedures and requirements listed in Article 5.3, including: describe or quote audit evidence, audit findings and audit conclusions item by item for the audit requirements in Article 5.3.3.5; Evaluate the realization of occupational health objectives, processes and occupational health performance.
- (7) 识别出的不符合项。Identified non-conformity.
- (8) 审核组对是否通过认证的意见建议。Opinions and suggestions of the audit team on whether the certification is passed.

5.4.2 CCATS 应保留用于证实审核报告中相关信息的证据。CCATS shall retain the evidence used to verify the relevant information in the audit report.

5.4.3 CCATS 应在作出认证决定后 30 个工作日内将审核报告提交申请组织，并保留签收或提交的证据。CCATS shall submit the audit report to the applicant organization within 30

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working days after making the certification decision, and retain the evidence of signature or submission.

5.4.4 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，CCATS 应将此报告及终止审核的原因提交给申请组织，并保留签收或提交的证据。For the items terminated from the audit, the audit team shall form a report on the work carried out, and CCATS shall submit this report and the reasons for the termination of the audit to the applicant organization, and retain the evidence of receipt or submission.

5.5 不符合项的纠正和纠正措施及其结果的验证 Correction of nonconformities, corrective measures and verification of results

5.5.1 对审核中发现的不符合项，CCATS 应要求申请组织分析原因，并提出纠正和纠正措施。对于严重不符合，应要求申请组织在最多不超过 6 个月期限内采取纠正和纠正措施。CCATS 应对申请组织所采取的纠正和纠正措施及其结果的有效性进行验证。如果未能在第二阶段结束后 6 个月内验证对严重不符合实施的纠正和纠正措施，则应按 5.6.5 条处理，或者按照 5.3.3.5 条重新实施第二阶段审核。For the non-conformities found in the audit, CCATS shall require the applicant organization to analyze the causes and propose corrective measures. For serious non-conformities, the applicant organization shall be required to take corrective measures within a maximum period of 6 months. CCATS shall verify the effectiveness of the corrective measures and results taken by the applicant organization. If the correction and corrective measures for serious non-conformities are not verified within 6 months after the end of the stage 2, it shall be handled according to Article 5.6.5, or the stage 2 audit shall be implemented again according to Article 5.3.3.5.

5.6 认证决定 Certification Decision

5.6.1 CCATS 应该在对审核报告、不符合项的纠正和纠正措施及其结果进行综合评价基础上，作出认证决定。CCATS shall make a certification decision on the basis of a comprehensive evaluation of the audit report, the correction and corrective measures of non-conformities and their results.

5.6.2 认证决定人员应为 CCATS 管理控制下的人员，审核组成员不得参与对审核项目的认证决定。The certification decision personnel shall be the personnel under the management and

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control of CCATS, and the members of the audit team shall not participate in the certification decision of the audit project.

5.6.3 CCATS 在作出认证决定前应确认如下情形：CCATS shall confirm the following conditions before making a certification decision:

(1) 审核报告符合本规则第 5.4 条要求，审核组提供的审核报告及其他信息能够满足作出认证决定所需要的信息。The audit report meets the requirements of Article 5.4 of the Rules, and the audit report and other information provided by the audit team can meet the information required for making the certification decision.

(2) 反映以下问题的不符合项，CCATS 已评审、接受并验证了纠正和纠正措施的有效性。CCATS has reviewed, accepted and verified the effectiveness of correction and corrective measures for the non-conformities reflecting the following problems.

①在持续改进职业健康安全管理体系的有效性方面存在缺陷，实现职业健康目标有重大疑问。There are defects in the continuous improvement of the effectiveness of the occupational health and safety management system, and there are major doubts about achieving the occupational health objectives.

②制定的职业健康目标不可测量、或测量方法不明确。The established occupational health objectives cannot be measured, or the measurement method is not clear.

③对实现职业健康目标具有重要影响的关键点的监视和测量未有效运行，或者对这些关键点的报告或评审记录不完整或无效。The monitoring and measurement of key points that have an important impact on the realization of occupational health objectives are not effectively operated, or the reports or review records of these key points are incomplete or invalid.

④其他严重不符合项。Other serious non-conformities.

(3) CCATS 对其他一般不符合项已评审，并接受了申请组织计划采取的纠正和纠正措施。CCATS has reviewed other general non con-formances and accepted the corrective measures planned by the applicant organization.

5.6.4 在满足 5.6.3 条要求的基础上，CCATS 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 5.6.3, if CCATS has sufficient objective evidence to prove that the applicant

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organization meets the following requirements, it shall assess that the applicant organization meets the certification requirements and issue a certification certificate to it.

(1) 申请组织的职业健康安全管理体系符合标准要求且运行有效。The occupational health and safety management system of the applicant organization meets the standard requirements and operates effectively.

(2) 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 scope meet the requirements of relevant laws and regulations.

(3) 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.

5.6.5 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 the following circumstances exist, it shall be assessed that the applicant organization does not meet the certification requirements, notify the applicant organization in writing and explain the reasons for its failure to pass the certification.

(1) 受审核方的职业健康安全管理体系有重大缺陷, 不符合 GB/T 45001/ISO 45001 标准的要求。The auditee's occupational health and safety management system has major defects and does not meet the requirements of GB/T 45001/ISO 45001.

(2) 发现受审核方存在重大职业健康安全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 occupational health and safety problems or other serious violations related to product and service quality.

5.6.6 CCATS 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。CCATS shall, within 30 working days after issuing the certification certificate, submit the information related to the certification results to the CNCA in accordance with the specified requirements.

6. 监督审核程序 Surveillance audit procedures

6.1 CCATS 应对持有其颁发的职业健康安全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职业健康安全管理体系并符合认证要求。CCATS shall effectively track the organization holding the occupational health and safety management system

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certification issued by it (hereinafter referred to as the certificated organization), and supervise the certificated organization to continuously operate the occupational health and safety management system and meet the certification requirements.

6.2 为确保达到 6.1 条要求, CCATS 应根据获证组织的职业健康安全风险程度或其他特性, 确定对获证组织的监督审核的频次。In order to ensure that the requirements of Article 6.1 are met, CCATS shall determine the frequency of surveillance audit of the certificated organization according to the occupational health risk degree or other characteristics of the certificated organization's products and services.

6.2.1 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 15 个月。As a minimum requirement, the first surveillance audit after the initial certification shall be conducted within 12 months from the date of issuance of the certification certificate. Thereafter, the surveillance audit shall be conducted at least once every calendar year (except the year in which re certification is required), and the interval between the two surveillance audits shall not exceed 15 months.

6.2.2 超过期限而未能实施监督审核的, 应按 8.2 或 8.3 条处理。If the surveillance audit is not carried out after the deadline, it shall be handled according to Article 8.2 or 8.3.

6.2.3 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, CCATS 应对该企业实施监督审核。If the products of the certified enterprise are found to be unqualified in the national supervision and random inspection of product quality, CCATS shall supervise and audit the enterprise within 30 days from the notification issued by the AQSIQ.

6.3 监督审核的时间, 应不少于按 5.2.1 条计算审核时间人日数的 1/3。The time of supervision and audit shall not be less than 1/3 of the number of people and days calculated according to Article 5.2.1.

6.4 监督审核的审核组, 应符合 5.2.2 条和 5.3.1 条的要求。The audit team of the surveillance audit shall meet the requirements of Article 5.2.2 and 5.3.1.

6.5 监督审核应在获证组织现场进行, 且应满足第 5.2.3.3 条确定的条件。由于市场、季

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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 surveillance audit shall be conducted on the site of the certificated organization and shall meet the conditions determined in 5.2.3.3. If it is difficult to cover all products and services in each surveillance audit due to market, seasonal and other reasons, the surveillance audit within the validity period of the certificate shall cover all products and services within the scope of certification.

6.6 监督审核时至少应审核以下内容：At least the following contents shall be reviewed during surveillance audit:

(1) 上次审核以来职业健康安全管理体系覆盖的活动及影响体系的重要变更及运行体系的资源是否有变更。Whether the activities covered by the occupational health and safety management system and the important changes affecting the system and the resources of the operation system have changed since the last audit.

(2) 按 5.3.3.2 (4) 条要求已识别的重要关键点是否按职业健康安全管理体系的要求在正常和有效运行。Whether the key points identified according to 5.3.3.2(4) operate normally and effectively according to the requirements of the occupational health and safety management system.

(3) 对上次审核中确定的不符合项采取的纠正和纠正措施是否继续有效。Whether the corrections and corrective measures taken for the non-conformities identified in the last audit are still effective.

(4) 职业健康安全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 occupational health and safety management system involve laws and regulations, whether they continue to comply with relevant provisions.

(5) 职业健康目标及职业健康绩效是否达到职业健康安全管理体系确定值。如果没有达到，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。Whether the occupational health objectives and occupational health performance meet the determined values of the occupational health and safety management system. If not, whether the certified organization has run the internal audit mechanism to identify the causes, and whether the management review mechanism has determined and implemented improvement measures.

(6) 获证组织对认证标志的使用或对认证资格的引用是否符合《中华人民共和国认证认

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可条例》及其他相关规定。Whether the use of the certification mark or the reference of the certification qualification by the certificated organization conforms to the *Regulations of the People's Republic of China on Certification and Accreditation* and other relevant provisions.

（7）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.

（8）是否及时接受和处理投诉。Whether complaints are received and handled in a timely manner.

（9）针对体系运行中发现的问题或投诉，及时制定并实施了有效的改进措施。For problems or complaints found in the system operation, effective improvement measures have been formulated and implemented in a timely manner.

6.7 在监督审核中发现的不符合项，CCATS 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。For the non-conformities found in the surveillance audit, CCATS shall require the certificated organization to analyze the causes, specify a time limit and require the certificated organization to complete the correction and corrective measures and provide evidence of the effectiveness of the correction and corrective measures.

CCATS 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。CCATS shall adopt appropriate methods to timely verify the effect of the certified organization's disposal of non conformance.

6.8 监督审核的审核报告，应按 6.6 条列明的审核要求逐项描述或引用审核证据、审核发现和审核结论。The audit report for surveillance audit shall describe or quote audit evidence, audit findings and audit conclusions item by item according to the audit requirements listed in Article 6.6.

6.9 CCATS 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。CCATS shall, according to the surveillance audit report and other relevant information, make a decision to continue to maintain or suspend, withdraw the certification certificate.

7. 再认证程序 Re-certification procedure

7.1 认证证书期满前，若获证组织申请继续持有认证证书，CCATS 应当实施再认证审核，并决定是否延续认证证书。Before the expiration of the certification certificate, if the certified

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organization applies for continuing to hold the certification certificate, CCATS shall conduct re-certification audit and decide whether to continue the certification certificate.

7.2CCATS 应按 5.2.2 条和 5.3.1 条要求组成审核组。按照 5.2.3 条要求并结合历次监督审核情况，制定再认证审核计划交审核组实施。CCATS shall form an audit team according to the requirements of 5.2.2 and 5.3.1. According to the requirements of Article 5.2.3 and in combination with previous surveillance audit, the re-certification audit plan shall be formulated and submitted to the audit team for implementation.

在职业健康安全管理体系及获证组织的内部和外部环境无重大变更时，再认证审核可省略第一阶段审核，但审核时间应不少于按 5.2.1 条计算人日数的 2/3。If there is no significant change in the internal and external environment of the occupational health and safety management system and the certificated organization, the stage 1 of the re-certification audit can be omitted, but the audit time should not be less than 2/3 of the number of people and days calculated according to Article 5.2.1.

7.3 对再认证审核中发现的严重不符合项，CCATS 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。For serious non-conformities found in the re-certification audit, CCATS shall specify a time limit to require the certificated organization to implement corrections and corrective measures, and complete the verification of the corrections and corrective measures before the expiration of the original certification certificate.

7.4CCATS 按照 5.6 条要求作出再认证决定。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。CCATS shall make a re certification decision according to the requirements of Article 5.6. If the certificated organization continues to meet the certification requirements and fulfill its contractual obligations, it shall be issued a new certificate.

7.5 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 certificate and the certificate is replaced, the termination date of the new certificate can be based on the termination date of the current certificate. The issuing date on the new certification certificate shall not be earlier than the date of re certification decision.

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如果在当前认证证书终止日期前，CCATS 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。If CCATS fails to complete the re certification audit or fails to verify the correction and corrective measures implemented for serious non-conformities before the termination date of the current certification certificate, it shall not be re-certified and the validity of the original certification certificate shall not be extended.

在当前认证证书到期后，如果 CCATS 能够在 6 个月内完成未尽的再认证活动，则可以恢复认证，否则应至少进行一次第二阶段审核才能恢复认证。认证证书的生效日期应不早于再认证决定日期，终止日期应基于上一个认证周期。After the expiration of the current certification certificate, if CCATS can complete the unfinished re-certification activities within 6 months, it can resume certification, otherwise it should conduct at least one stage 2 audit to resume certification. The effective date of the certification certificate shall not be earlier than the date of re-certification decision, and the termination date shall be based on the previous certification cycle.

8. 暂停或撤销认证证书 Suspending or withdrawing of certificate

8.1 CCATS 应制定暂停、撤销认证证书或缩小认证范围的规定和文件化的管理制度，规定和管理制度应满足本规则相关要求。CCATS 对认证证书的暂停和撤销处理应符合其管理制度，不得随意暂停或撤销认证证书。CCATS shall formulate provisions and documented management systems for suspending, withdrawing certification certificates or reducing the scope of certification, and the provisions and management systems shall meet the relevant requirements of these rules. The suspension and revocation of the certification certificate by CCATS shall comply with its management system and shall not be arbitrarily suspended or withdrew.

8.2 暂停证书 Suspend Certificate

8.2.1 获证组织有以下情形之一的，CCATS 应在调查核实后的 5 个工作日内暂停其认证证书。In any of the following circumstances, CCATS shall suspend its certification certificate within 5 working days after investigation and verification.

(1) 职业健康安全管理体系持续或严重不满足认证要求，包括对职业健康安全管理体系运行有效性要求的。The occupational health and safety management system continuously or seriously fails to meet the certification requirements, including the requirements for the operation

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effectiveness of the occupational health and safety management system.

(2) 不承担、履行认证合同约定的责任和义务的。Failing to assume or perform the responsibilities and obligations stipulated in the certification contract.

(3) 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 supervision department.

(4) 持有的与职业健康安全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, qualification certificate, compulsory certification certificate, etc. held in relation to the scope of the occupational health and safety management system have expired, and the resubmitted application has been accepted but has not been replaced.

(5) 主动请求暂停的。Actively requesting suspension.

(6) 其他应当暂停认证证书的。Other cases where the authentication certificate should be suspended.

8.2.2 认证证书暂停期不得超过 6 个月。但属于 8.2.1 第（4）项情形的暂停期可至相关单位作出许可决定之日。The suspension period of the certificate shall not exceed 6 months. However, the suspension period in the case of Item 8.2.1 (4) can be extended to the date when the relevant unit makes a decision on permission.

8.2.3 CCATS 应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。CCATS shall disclose the information about the suspension of the certification certificate in an appropriate way, specify the starting date and duration of the suspension, and state that the certificated organization shall not use the certification certificate, certification mark or reference the certification information in any way during the suspension.

8.3 撤销证书 Withdraw certificate

8.3.1 获证组织有以下情形之一的，CCATS 应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。In any of the following circumstances, CCATS shall withdraw its certification certificate within 5 working days after obtaining relevant information and investigating and verifying.

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（1）被注销或撤销法律地位证明文件的。The legal status certificate is cancelled or revoked.

（2）被国家质量监督检验检疫总局列入质量信用严重失信企业名单。It has been included in the list of enterprises with serious quality and credit loss by the General Administration of Quality Supervision, Inspection and Quarantine of the People's Republic of China.

（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。Refusing to cooperate with the supervision and inspection carried out by the certification supervision department, or providing false materials or information for the inquiry and investigation of relevant matters.

（4）拒绝接受国家产品质量监督抽查的。Refusing to accept the random inspection of national product quality supervision.

（5）出现重大的产品和服务等质量安全或职业健康安全事故，经执法监管部门确认是获证组织违规造成的。Major product and service quality and safety accidents or occupational health safety accidents are confirmed by law enforcement and supervision departments to be caused by the violation of the certificated organization.

（6）有其他严重违反法律法规行为的。Other serious violations of laws and regulations.

（7）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（包括持有的与职业健康安全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 period of suspension of the certification certificate has expired, but the problem causing the suspension has not been solved or corrected (including the administrative license certificate, qualification certificate, compulsory certification certificate, etc. held in relation to the scope of the occupational health and safety management system that has expired but has not been approved).

（8）没有运行职业健康安全管理体系或者已不具备运行条件的。The occupational health and safety management system has not been operated or the operation conditions have not been met.

（9）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 CCATS 已要求其纠正但超过 2 个月仍未纠正的。The certification information obtained is not correctly quoted and publicized according to the relevant provisions, causing serious impact or consequences,

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or CCATS has required it to correct but has not corrected it for more than 2 months.

(10) 其他应当撤销认证证书的。Other certificates that should be withdrew.

8.3.2 撤销认证证书后，CCATS 应及时收回撤销的认证证书。若无法收回，CCATS 应及时在相关媒体和网站上公布或声明撤销决定。After the certificate is withdrew, CCATS shall withdraw the revoked certificate in a timely manner. If it cannot be withdrawn, CCATS shall publish or declare the revocation decision on relevant media and websites in a timely manner.

8.4CCATS 暂停或撤销认证证书应当在其网站上公布相关信息，同时按规定程序和要求报国家认监委。CCATS shall publish relevant information on its website when suspending or withdrawing the certification certificate, and report to the CNCA according to the specified procedures and requirements.

8.5CCATS 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。CCATS shall take effective measures to avoid the continued use of various invalid certification certificates and certification marks.

9. 认证证书要求 Certification requirements

9.1 认证证书应至少包含以下信息：The certificate shall contain at least the following information:

(1) 获证组织名称、地址和统一社会信用代码（或组织机构代码）。该信息应与其法律地位证明文件的信息一致。Name, address and unified social credit code (or organization code) of the certificated organization. This information should be consistent with the information in the legal status certificate.

(2) 职业健康安全管理体系覆盖的生产经营或服务的地址和业务范围。若认证的职业健康安全管理体系覆盖多场所，表述覆盖的相关场所的名称和地址信息。Address and business scope of production, operation or service covered by the occupational health and safety management system. If the certified occupational health and safety management system covers multiple places, state the name and address of the relevant places covered.

(3) 职业健康安全管理体系符合 GB/T 45001/ISO 45001 标准的表述。The occupational health and safety management system conforms to GB/T 45001/ISO 45001.

(4) 证书编号。Certificate No.

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(5) CCATS 名称。Name of certification authority.

(6) 有效期的起止年月日。The period of validity starts and ends on.

证书应注明：获证组织必须定期接受监督审核并经审核合格此证书方继续有效的提示信息。The certificate shall indicate that the certificated organization must be subject to regular supervision and audit, and the certificate will continue to be valid only after being qualified.

(7) 相关的认可标识及认可注册号（适用时）。Relevant approval marks and approval registration numbers (if applicable).

(8) 证书查询方式。CCATS 除公布认证证书在本机构网站上的查询方式外，还应当在证书上注明：“本证书信息可在国家认证认可监督管理委员会官方网站（www.cnca.gov.cn）上查询”，以便于社会监督。Certificate query method. In addition to publishing the query method of the certification certificate on the website of CCATS, CCATS shall also indicate on the certificate: "The information of this certificate can be queried on the official website of the Certification and Accreditation Administration of the People's Republic of China (www.cnca. gov.cn)" for the convenience of social supervision.

9.2 初次认证认证证书有效期最长为 3 年。再认证的认证证书有效期不超过最近一次有效认证证书截止期再加 3 年。The validity period of the initial certification certificate is 3 years at most. The validity of the re-certification certificate shall not exceed the deadline of the latest valid certificate plus 3 years.

9.3 CCATS 应当建立证书信息披露制度。除向申请组织、认证监管部门等执法监管部门提供认证证书信息外，还应当根据社会相关方的请求向其提供证书信息，接受社会监督。CCATS shall establish a certificate information disclosure system. In addition to providing certification certificate information to the application organization, certification supervision department and other law enforcement and supervision departments, they should also provide certificate information to relevant social parties at their request and accept social supervision.

10. 与其他管理体系的结合审核 Combined audit with other management systems

10.1 对职业健康安全管理体系和其他管理体系实施结合审核时，通用或共性要求应满足本规则要求，审核报告中应清晰地体现 4.4 条要求，并易于识别。When the occupational health and safety management system and other management systems are audited together, the general or

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common requirements shall meet the requirements of the Rules. The audit report shall clearly reflect the requirements of Article 4.4 and be easy to identify.

10.2 结合审核的审核时间人日数，不得少于多个单独体系所需审核时间之和的 80%。The number of person days of combined audit shall not be less than 80% of the sum of audit time required by multiple individual systems.

11. 受理转换认证证书 Acceptance of conversion certificate

11.1 CCATS 应当履行社会责任，严禁以牟利为目的受理不符合 GB/T 45001/ISO 45001 标准、不能有效执行职业健康安全管理体系的组织申请认证证书的转换。CCATS shall perform its social responsibility and shall not accept for profit the conversion of certification certificates applied for by organizations that do not conform to GB/T 45001/ISO 45001 standards and cannot effectively implement the occupational health and safety management system.

11.2 CCATS 受理组织申请转换为本机构的认证证书，应该详细了解申请转换的原因，必要时进行现场审核。CCATS accepts the organization's application for conversion to its own certification certificate. It should know the reason for the conversion in detail and conduct on-site audit if necessary.

11.3 转换仅限于现行有效认证证书。被暂停或正在接受暂停、撤销处理的认证证书以及已失效的认证证书，不得接受转换申请。The conversion is limited to the current valid certificate. The certificate that has been suspended or is being suspended or withdrew and the certificate that has expired shall not accept the conversion application.

11.4 被发证的 CCATS 撤销证书的，除非该组织进行彻底整改，导致暂停或撤销认证证书的情形已消除，否则不应受理其认证申请。If CCATS to which the certificate has been issued withdraw the certificate, its certification application shall not be accepted unless the organization has made a thorough rectification and the situation leading to suspension or revocation of the certificate has been eliminated.

12. 受理组织的申诉 Accepting complaints from organizations

申请组织或获证组织对认证决定有异议时，CCATS 应接受申诉并且及时进行处理，在 60 日内将处理结果形成书面通知送交申诉人。If the applicant organization or the certificated organization has any objection to the certification decision, CCATS shall accept the appeal and

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handle it in a timely manner, and send a written notice of the handling result to the complainant within 60 days.

书面通知应当告知申诉人,若认为 CCATS 未遵守认证相关法律法规或本规则并导致自身合法权益受到严重侵害的,可以直接向所在地认证监管部门或国家认监委投诉,也可以向相关认可机构投诉。The written notice shall inform the complainant that if CCATS believes that it has failed to comply with the relevant certification laws and regulations or these Rules and has caused serious infringement of its legitimate rights and interests, it can directly complain to the local certification regulatory authority or the CNCA, or it can also complain to the relevant accreditation authority.

13. 认证记录的管理 Management of certification records

13.1 CCATS 应当建立认证记录保持制度,记录认证活动全过程并妥善保存。CCATS shall establish a certification record keeping system to record the whole process of certification activities and keep them properly.

13.2 记录应当真实准确以证实认证活动得到有效实施。记录资料应当使用中文,保存时间至少应当与认证证书有效期一致。The records shall be true and accurate to verify the effective implementation of certification activities. Records shall be kept in Chinese for at least the same period as the validity of the certification certificate.

13.3 以电子文档方式保存记录的,应采用不可编辑的电子文档格式。If records are saved in electronic format, non editable electronic format shall be adopted.

13.4 所有具有相关人员签字的书面记录,可以制作成电子文档保存使用,但是原件必须妥善保存,保存时间至少应当与认证证书有效期一致。All written records signed by relevant personnel can be made into electronic documents for storage, but the original must be properly kept for at least the same period as the validity of the certificate.

14. 其他 Others

14.1 本规则内容提及 GB/T 45001/ISO 45001 标准时均指认证活动发生时该标准的有效版本。认证活动及认证证书中描述该标准号时,应采用当时有效版本的完整标准号。All references to GB/T 45001/ISO 45001 in the Rules refer to the valid version of the standard at the time of certification. When the standard number is described in the certification activity and certificate, the

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complete standard number of the current valid version shall be used.

14.2 本规则所提及的各类证明文件的复印件应是在原件上复印的，并经审核员签字确认与原件一致。The copies of all kinds of certificates mentioned in the Rules shall be copied on the original, and shall be signed by the auditor to confirm that they are consistent with the original.

14.3CCATS 可开展职业健康安全管理体系及相关技术标准的宣贯培训，促使组织的全体员工正确理解和执行职业健康安全管理体系标准。CCATS can carry out the publicity and implementation training of the occupational health and safety management system and related technical standards, so as to promote all employees of the organization to correctly understand and implement the occupational health and safety management system standards.

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附录 A Appendix A

职业健康安全管理体系认证审核时间要求

Requirements for audit time of occupational health management system certification

有效人数 Effective Number of Personnel	第一阶段+第二阶段审核时间 (天) Audit Time Stage 1 + Stage 2(days)			有效人数 Effective Number of Personnel	第一阶段+第二阶段审核时间 (天) Audit Time Stage 1 + Stage 2(days)		
	高 High	中 Medium	低 Low		高 High	中 Medium	低 Low
1-5	3	2.5	2.5	626-875	17	13	10
6-10	3.5	3	3	876-1175	19	15	11
11-15	4.5	3.5	3	1176-1550	20	16	12
16-25	5.5	4.5	3.5	1551-2025	21	17	12
26-45	7	5.5	4	2026-2675	23	18	13
46-65	8	6	4.5	2676-3450	25	19	14
66-85	9	7	5	3451-4350	27	20	15
86-125	11	8	5.5	4351-5450	28	21	16
126-175	12	9	6	5451-6800	30	23	17
176-275	13	10	7	6801-8500	32	25	19
276-425	15	11	8	8501-10700	34	27	20
426-625	16	12	9	>10700	依照上述级数 According to front level		

备注Note 11: 审核时间是依高、中及低OHSMS风险审核显示。The audit time is based on high, medium and low OHSMS risk audits.

备注2 Note 2: 表OHSMS 1之人员数须视为连续, 而非阶段式变化。若绘制成图, 线应从较低层带的值开始。图之起始点须是1人2.5日(如上)。若计算结果有小数点, 则日数须调整到最接近之半日(例如: 5.3审核日算做5.5审核日; 5.2审核日就算5审核日)。The number of people in table OHSMS 1 must be considered as continuous, not as a phase change. If plotted, the line should start with the value of the lower band. The starting point of the map must be 2.5 persons for 2.5 days (as above). If the calculation result has a decimal point, the number of days must be adjusted to the nearest half day (for example: .5.3 audit date is calculated as 5.5 audit date; 5.2 audit

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date is calculated as 5 audit days).

备注3Note 3: 有效人员数包含在认证范围内参与的所有人员(正式、临时及兼职), 包括在每个班次工作之轮班人员。若包括在认证范围内, 亦应包含承揽商/分包商执行工作或与工作有关活动, 受组织管制或影响, 会影响组织OHSMS绩效之人员。 The number of effective personnel includes all personnel (formal, temporary, and part-time) who participate in the verification scope, including the shift personnel who work in each shift. If included in the scope of verification, it should also include the contractor/subcontractor performing work or work-related activities that are subject to organizational controls or influence that will affect the organization's OHSMS performance.

备注4Note 4: 有效人员数是做为计算OHSMS审核时间的基础。决定有效员工数时, 考虑的因素包括兼职人员、轮班制员工、行政与各类办公人员, 以及类似或重复过程(备注5)。「若是季节性作业(例如收成活动、度假村及旅馆等), 有效人员数之计算应以通常会在旺季到工之人员为基础。」有效人员数不得未经考虑相关风险, 即因雇用大量非技术人员而减少(备注7)。 The number of valid staff is the basis for calculating the OHSMS audit time. When deciding on the number of effective employees, the factors to be considered include part-time employees, shift-workers, administrative and office workers, and similar or repeated processes (Note 5). "If seasonal operations (such as harvest activities, resorts and hotels, etc.), the calculation of the number of effective staff should be based on the staff who normally go to work during peak season." Decrease in technical staff (Note 7).

备注5Note 5: 范围内类似或重复过程 Similar or Repeating Processes in Range

a) 若有高比例人员执行被认为类似或相同之活动/职位时(例如清洁工、保全、销售、电话中心等), 因人员暴露在类似的OHMSM风险, 则可能允许在认证范围内, 减少公司之间可连贯与一致地应用的人员数。 If a high percentage of people perform activities/positions that are considered similar or identical (such as cleaners, maintenance, sales, call centers, etc.), personnel may be allowed to reduce within the scope of verification due to exposure to similar OHMSM risks. The number of people that can be applied consistently and consistently between companies.

b) 执行重复工作之员工群组会降低注意力, 并因而提高相关的OHSMS风险程度(例如, 安装、组装、包装、分类等), 则为了可能减少有效人员数而采用之方法应予以文件化, 包括

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员工之任何活动/职位之OHSMS风险之评鉴。The group of employees performing the repetitive work will reduce their attention and thus increase the related OHSMS risk level (for example, installation, assembly, packaging, classification, etc.). The methods adopted in order to reduce the number of effective personnel shall be documented. , including OHSMS risk assessment of any activity/position of the employee.

备注6 Note 6: 轮班制员工Shift employee

CAB应决定最能评鉴客户活动全部范围之OHSMS实施成效的审核时机，包括需要在正常工作时间以外审核及各种轮班模式。此应取得客户同意。The CAB should determine the timing of audits that can best evaluate the effectiveness of OHSMS implementation across the full range of client activities, including the need for audits and various shift patterns outside normal working hours. This should obtain client consent.

CAB须确保审核时间的任何改变均不影响审核之有效性(决定OHSMSs审核时间的起始点应基于有效人员数予以鉴别，然后再根据适用于被审核客户的重要因素加以调整，并给予每项因素加减权重，以修订基数。在任何情形下，确立OHSMSs审核时间之依据，包括所做之调整，均应予以记录。CAB须确保审核时间之任何变动均不影响审核的有效性。若产品或服务之实现是一班制过程，则CAB对每班之审核程度视每班完成之过程而定，并考虑到相关之OHSMS风险及客户证明的每班管制水平。为使审核有效实施，在第一个认证周期期间，至少应审核正常上班时间内及时间外各一班。后续周期的追查审核期间，CB可基于组织OHSMS之公认成熟度，决定不审核第二班。可能时，建议调整延后审核的开始时间，以便可在8小时的审核时间内涵盖两班。考虑到不审核其他班之风险后，应将正当理由文件化。)。The CAB must ensure that any change in the audit time does not affect the validity of the audit (the starting point for determining the OHSMSs audit time should be identified based on the number of effective personnel, and then adjusted according to the important factors applicable to the audited client and given each item Addition and subtraction of weights to the revision of the base In any case, the basis for establishing the OHSMSs audit time, including the adjustments made, should be recorded.CAB must ensure that any change in audit time does not affect the validity of the audit. The implementation of the service is a one-shift process, and the degree of CAB auditing for each shift depends on the completion process of each shift, taking into account the related OHSMS risks

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and the level of control for each class certified by the client. During a verification cycle, at least one audit shall be performed during the normal working hours and outside of the time. During the follow-up audit of the follow-up cycle, CB may decide not to audit the second shift based on the recognized maturity of the organization's OHSMS. When possible, it is recommended to adjust the delay. The start time of the post-audit so that it can cover two shifts at the eight-hour audit time, taking into account the risk of not auditing other classes. Documents should be justified.)

备注7 Note 7: 临时非技术人员 Temporary non-technical staff

此问题通常只在技术水准低，可能雇用相当数量非技术人员，替代自动化过程的国家适用。在此情形下，其他认证方案(QMS、EMS)，可能减少有效人员数。此种减少原则上是被认为不适用于OHSMS，因为非技术人员之雇用可能就是OHSMS风险的来源。若有例外情形，做出减少的原因应予以记录，并在评鉴时提供给AB。This problem is usually only applied at a low technical level and may employ a considerable number of non-technical personnel and countries that replace the automation process. In this case, other verification schemes (QMS, EMS) may reduce the number of effective personnel. This reduction is in principle considered not to be applicable to OHSMS because the employment of non-technical personnel may be the source of OHSMS risk. If there are exceptions, the reasons for the reduction should be recorded and provided to AB during the evaluation.