




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

# 公开文件-获证组织需知

## Certification organizations need to know

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### 1.目的 Purpose

为使获取本机构管理体系证书的组织了解相关认证规则事项，特制定本文件。This document is for the certified organization to understand related certificate rules.

### 2.适用范围 Scope


适用于已经正式获取本机构颁发的管理体系认证证书的客户（也适用拟申请管理体系认证的客户作为认证规则的预先了解）。This document is applicable to the certified organization. (it is also for the applicant to understand certificate rule in advance).

### 3.规则事项概述 Provision description

3.1 本公司全体成员感谢你们选择了我们作为合作的伙伴，并对贵组织的管理体系获得认证注册表示衷心的祝贺。我们热烈欢迎贵组织加入本公司的信誉共同体，在证书有效期内，本公司与贵组织将荣辱与共，协同完成获证管理体系的维护、改进工作，继续深化管理体系管理，以期取得更佳的经济效益及社会效益。All our staff appreciate you for choosing CCATS as your partner. Congratulate to you for your management system has been certified and registered . CCATS appreciate your respected organization shall be our partner of credit community. In order to obtain better economic and social benefits, we will support your management system for maintain, improve, and further study during your certificate valid period.

3.2 本公司对获证管理体系维护管理的归属部门为审核部，负责组织协调本公司与获证组织间的日常联络、监督审核等工作，本公司管理部协助其工作。同时本公司将试行在与获证组织协商后，与客户相关人员的定期访问形式，保持日常联络的经常化。另外，本公司负责对来自获证组织、有关政府职能部门、社会团体和个人的重大申诉和投诉的处理。Our audit department shall take charge in the certified organization. Shall keep daily contact with client, remind certified organization for surveillance audit. Management department shall support audit department. CCATS purpose a trial for paying regularly visit to our client, keep in frequent touch with client. We also handle major complain from relevant governmental function and social community.

3.3 对管理体系获证的维护管理须符合有关的认证规范及作为信誉共同体的一致性要求，为此本公司与贵组织必须协同，以便在对获证管理体系的维护过程中，在所涉及的以下各方面工作上都能保持良好的运作。In order to carry out all work smoothly, as requirement of a credit community,manage certified organization must conform to relevant certificate provision,CCATS must work together with your organization.

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3.4 关于认证证书、认证资格、证书、标志的使用规则：具体执行本公司的有关规定。

The use rule for certificate, qualification and logo must conform to CCATS' s provision.

### 3.5 对获证组织监督审核 Surveillance audit to certified organization

监督审核是本公司认证获证组织的管理体系是否持续运作，同时考虑获证组织运作方面的变化是否对其体系产生了不利的影响，并评定其体系是否满足认证要求。 Surveillance audit shall check whether the certified organization continue implement their management system, whether any major changes about implementation have bad effect on management system, and assess whether the management system still meet the assessment requirement.

3.5.1 监督审核分定期和不定期两种形式 There are two forms of surveillance audit: random and fixed period

本公司对获证组织定期的监督审核在证书的有效期内每年一次非均衡分布进行，正常情况下初次认证及再认证后的第一次监督审核应在认证证书签发之日起 12 个月内进行。此后，监督审核间隔不应超过 12 个月。本公司审核部将提前三个月通知各获证组织本年度监督审核的具体日期时间安排。 CCATS conducts regular supervision and audit of certified organizations in an unbalanced distribution once a year during the validity period of the certificate. Under normal circumstances, the first supervision and audit after initial certification and re certification should be conducted within 12 months from the date of issuance of the certification certificate. Afterwards, the interval between supervision and review should not exceed 12 months. Our audit department shall inform certified organization the detail next surveillance audit agenda information.


不定期监督审核由本公司安排，通常是在获证组织管理体系的有效性可能出现失控情况时进行。以下情况，可进行不定期的监督审核： CCATS perform random surveillance audit to the certified organization when their management system maybe out of control. CCATS perform random surveillance audit when following situations arose:

a. 相关方对获证组织有严重投诉，或反应其有隐瞒事实真相； Serious complain from relevant party, or relevant party accuse the certified organization intend to hide the truth;

b. 获证组织的产品被相关机构抽查不合格； The product of the certified organization has been sampling checked as non-conformity;

c. 管理体系有较大变化、影响到体系运行的有效性； Major change in management system has effect on the effectiveness of the implementation of the management system;

d. 正常监督审核时有较多不合格，审核组建议增加监督审核。 If there are several NC, audit team will advise to increase surveillance audit.

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### 3.5.2 监督审核的实施 Conducting the surveillance audit

监督审核由本公司组织实施，具体的监督审核活动将由本公司根据年度计划安排，以派出合格的审核组进行现场审核的方式进行。定期监督审核的现场审核计划由审核组长于审核实施前一周通知，以便获证组织做出安排。非定期监督审核计划可于审核组到现场后提交获证组织，也可提前预知。非定期监督审核不收取审核费用。Surveillance audit shall be conducted by CCATS, the detail activities shall be arranged by CCATS according to the annual plan. We shall arrange qualified audit group to conduct on-site audits. Audit team leader shall notice the certified organization and send them the site audit plan one week in advance, for the convenience arrangement of certified organization. Random surveillance audit plan shall be provided when audit team arrive or in advance. Random surveillance audit will be free charge.


### 3.5.3 监督审核的延期 Delay for surveillance audit.

确因特殊原因，获证组织无法按时接受定期监督审核，应书面向本公司提出延期申请，获批准后可延期。因延期监督审核有可能引至该获证客户管理体系认证证书的暂停或撤销。Due to specific reason, certified organization couldn't accept surveillance audit, should submit written application to CCATS, after get approval, the surveillance audit can be delayed. As delay for surveillance audit, it may cause the suspension or termination for the management system certificate.

## 3.6 获证组织通报制度的规则 Report system rules for certified organization

3.6.1 通报制度的是本公司与获证组织间进行沟通的一种手段，该制度要求获证组织指定一个常设机构负责管理体系的维护并保持与本公司的经常性联络，及时反应有关信息。当获证组织发生如下情况时，应在一周内及时以书面形式向本公司通报：The notification system is a means of communication between CCATS and the certificated organization. The system requires the certificated organization to designate a permanent organization to be responsible for the maintenance of the management system, maintain regular contact with CCATS, and respond to relevant information in a timely manner. When the certificated organization has the following situations, it shall timely notify CCATS in writing within one week:

- a.管理手册等管理体系文件作重大修改；Major change in management document such as management manual;
- b.管理体系覆盖的产品结构、生产规模、场地发生重大变化；Major change in product structure, production scale or site which covered by management system;
- c.组织负责人，尤其是最高管理者发生变动，或组织机构发生了较大的变动；Major change

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in the head of the organization, especially top management or major change of organization structure.

d.发生了重大的质量、环境污染物超标排放、职业健康安全事故等事故； When quality, environment, occupational health and safety accident, excess emissions of pollutants accidents occur.

e.国家主管部门的产品或环境检查抽查不合格； When quality or environment sampling checked by governmental function parties as non-conformity;

f.产品出现较大批量的不合格或因质量问题引起了用户退货，且退货量较大； Large quantity non-conformance products occur or large quantity products returned from client side due to serious quality issue.

g.用户有重大投诉并产生了较大影响的； Serious complain from user side and has great influence;

h.其他涉及认证范围的改变； Change in other relevant certification scope;

i.联系方式发生变化时。 Contact window changed.

3.6.2 凡与管理体系有关的较大变化，影响到管理体系运行及其有效性的，都应在通报的范围之内。 All major change related to management system, have influence on the effective implementation of management system.

3.6.3 书面报告的内容包括情况说明、原因，已采取或拟采取的措施等，事后须向本公司报告矫正结果的情况。 Written report content includes: status description, reason, actions have taken or will take; the certified organization shall report the corrective result to CCATS.

3.7 申诉和投诉的处理规则：执行《申诉和投诉处理程序》的有关规定。 Handle rules for appeals and complains: follow *Appeals and complaints procedure*

3.8 扩大或缩小认证范围及组织名称、地址的变更。 Expanding or reducing certification scope, change for organization name or address.

3.8.1 扩大认证范围的情况 Status for expanding certification scope

a.如管理体系依据的模式标准变化； Management system standard change;


b.增加管理体系覆盖的产品； Expand the certification scope;

c.管理体系覆盖的运作场所增大。 Operation place which covered by management expanded.

3.8.2 缩小认证范围的情况 Status for reducing certification scope

a.如管理体系依据的模式变化； Management system standard change;

b.减少管理体系覆盖的产品或原产品中部分停产或改产； Reduce product certification

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scope or prior products EOL or changed;

c. 管理体系覆盖产品的运作场所缩小。Operation place which covered by management reduced.

3.8.3 申请方式：获证组织要求扩大或缩小认证范围时，应在下次监督审核或再认证前的一个月提出书面申请，填写申请表、签订认证合约，原则上，不临时接受扩大范围的申请；  
 Application means: when certificated organizations require expands or reduces the certification scope, should submit written application within one month prior to the surveillance audit. Fill application form, sign contract. We don't accept temporary application for expanding certification scope in principle;

a. 要求扩大或缩小认证范围的有关产品的说明书；Detail product specification description which required be expanded or reduced;

b. 申请扩大的产品的研制或生产全过程能力（包括技术要求、作业流程、关键 / 特殊工序、新添重要设施，人员培训等）的说明；Detail description of the design and produce ability which required be expanded.(include technical requirement, operate procedure, critical/special process, new infrastructure and staff training);

c. 申请缩小认证范围的理由和改产 / 停产说明；Apply reducing the scope reasons and suspending explanation;

d. 手册、程序相应增删部分。Changes in management system manual or procedure.

#### 3.8.4 审核 Audit


3.8.4.1 审核组按照有关认证审核的程序实施审核并完成有关规定的记录，尤其对扩大认证范围的过程、产品及其所涉及的文件制度、人员能力等进行重点检查与取证。Audit team conduct audit activity according to relevant procedure document and complete relevant required record. Especially focus on sampling check for expanding scope product, process, file system and staff ability .

3.8.4.2 当获证组织的扩大认证范围的产品、过程取证无具体事实的，公司不予认同其扩大该认证范围。When certified organization can't provide actual expanding product or process, CCATS will not accept the expanding scope.

#### 3.9 再认证审核的申请 Application for re certification

证书有效期届满或者恢复使用已暂停的证书，组织如要继续保持对其管理体系的认证，可向本公司提出再认证审核申请，再认证审核一般应在证书有效期到期 1 个月内向认证本公司提交《认证申请表》并签订再认证合约，再认证后重新颁发认证证书，进入下一个证书有



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效期。When the certificate is out of date, or restore suspending certificate, the certified organization would like continuously keep the certificate, he/she could apply for re certification audit. He/she should submit *Certification Application Form* and sign contract with CCATS within one month prior to the expiration date. After the re certification audit, CCATS shall grant new certificate to certified organization, the valid period will be recalculated.

3.10 授予、拒绝、保持、更新、扩大、缩小、暂停、注销、撤销及恢复认证范围的处置：执行《授予、拒绝、保持、更新、扩大、缩小、暂停、注销、撤销及恢复认证范围管制程序》的有关规定。Follow the rule of *Granting, refusing, maintaining, renewing, expanding, reducing, suspending, cancelling, withdrawing and restoring of certification scope control procedure*.

### 3.11 认证要求的更改 Change of certification requirement

当认证要求（如管理体系认证标准换代）发生变化，本公司将要求获证组织变更体系以适应认证要求的变化，并实施审核。对于新标准转换，获证组织应按适宜的新标准修改体系档，并运行三个月，实施内部审核和管理审查，本公司依据双方签订的合约和认证申请表，对获证组织依据新版本标准实施审核通过后，换新版标准的证书，证书有效期为三年。When the certification requirements (such as the management system certification standard version change) change, CCATS will require the certified organization to change the system to adapt to the changes in the certification requirements, and implement the audit. For the conversion of new standards, the certificated organization shall modify the system file according to the appropriate new standard, and operate it for three months to implement internal audit and management review. CCATS shall according to the contract signed by both parties and the certification application form, audit the certificated organization according to the new version of the standard, and then replace the certificate of the new version of the standard. The certificate is valid for three years.

## 4. 申请认证组织/获证组织的权利和义务


### Right and responsibility of applicant/certified organization

#### 4.1 权利 Right

4.1.1 认证申请（委托）人有权了解认证机构运作依据和认证程序；Applicant have a right to know the certification procedure and basis of certification body perform;

4.1.2 有权索取有关认证的说明和公开文件；Have a right to obtain certification illustration and public file;

4.1.3 有权对审核计划和审核组成员提出异议，并得到合理解决；Have a right to suggest the audit plan and audit team, and got reasonable solution;

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4.1.4 有权对审核组提出的不合格事实进行确认； Have to right to confirm whether the non-conformity report which issued by audit team is a fact or not;

4.1.5 有权对审核组工作和审核结论提出质疑； Have a right to question the audit work or audit conclusion performed by our audit team;

4.1.6 认证机构批准的正式审核报告与审核组的审核结论有差异时，有权要求认证机构作出解释； Have a right to request certification body to explain the detail reason if the audit conclusion is different from final audit report;

4.1.7 当认证机构将审核 / 监督审核分包给外部机构或人员时，有权提出意见，甚至不同意（应有正当理由）。 Have a right to give suggestion or don' t accept at all(with a good reason) if certification body outsource other body to conduct audit;

4.1.8 有权正确使用认证证书和标志，有权登入认证机构名录并公告； Have a right to use the certificate and logo, and also be registered and be open to public;

4.1.9 有权要求认证机构保密和遵守本方的有关规定； Have a right to request certification body keep confidentiality and comply with their rule;

4.1.10 有权对认证机构 / 人员提出申诉 / 投诉； Have a right to appeal/complaint to the CB;

4.1.11 有权要求认证机构对其他有关认证问题作出解释或澄清。 Have a right to request certification body to explain or clarify relevant certification issue.

## 4.2 义务 Responsibility

4.2.1 始终遵守认证机构认证审核的有关程序规定和公开文件的要求； should always abide by the audit procedure and the requirement of the public document;


4.2.2 按期缴纳费用（认证不通过时也应缴纳费用）； Should pay audit fee on time(when the audit didn' t be passed, still need to pay the audit fee);

4.2.3 为认证机构、认证单位进行的现场审核、认证、检查、监督及再认证审核和解决申诉做出必要安排；包括接受认证机构的文件审核，调阅所有记录（包括客户申诉）； Should provide necessary arrangement for certification body when they conduct on-site audit, verification, check ,surveillance, re certification or solve appeal activity. Include accepting document audit, obtain all record(include client complain);

4.2.4 积极配合审核，如实提供情况、说明、资料、文件、记录； Should actively cooperate with audit, provide truthful, instructions, data, documents and records;

4.2.5 正确使用认证证书和认证标志，需就使用遵守在获准认证的范围内作声明； Should right use certificate and logo, should declare the use scope which be covered by certificate;



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4.2.6 在宣传认证结果时不得损害认证机构的声誉，不得做出使认证机构认为误导或未授权的声明； Shouldn't harm the reputation of the certification body when propaganda the certification result. Shouldn't miss lead or declare which didn't be authorized by certification body;

4.2.7 当认证被暂停、注销或撤销时，应立即停止涉及认证内容的宣传，并按认证机构要求交回所有认证文件。 When certification is suspended, canceled, or withdrew, all promotional materials related to the certification must be immediately discontinued, and all certification documents must be returned as required by the certification body.