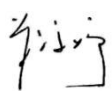
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认证注册的转换规定

Conversion Regulations for Certification Registration

发行部门 Issuing Department:	审核部 Audit Department <hr/> 陈海玲 Chenhailing	日期 Date: 2025年10月30日 October 30, 2025
编制 Preparation:	<hr/> 陈海玲 Chenhailing	日期 Date: 2025年10月30日 October 30, 2025
审核 Audit:	<hr/> 	日期 Date: 2025年10月30日 October 30, 2025
批准 Approval:	<hr/> 	日期 Date: 2025年10月30日 October 30, 2025

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文件会签 Document co signing				
部门 Department	市场拓展部 Market Development	审核部 Audit Department	技术部 Technical Department	行政人事部 Administrative and Human Resources
签字 Signature				
日期 Date	2025.11.4	2025.11.4	2025.11.4	2025.11.4

文件会签 Document co signing				
序号 Serial Number	修订日期 Revision Date	修订内容 Revised Content	修订人 Revisor	批准 Approval
1	2019/1/3	按 CNAS 标准要求更新。 Update according to CNAS standards.	林泽航 Linzehang	尹雪晨 Yinxuechen
2	2019/11/25	增加评审人员要求准则，修正不完整表述 Add the requirements and criteria for reviewers, and correct incomplete statements.	陈海玲 Chenhailing	尹雪晨 Yinxuechen
3	2020/6/1	全篇修订 Revise the entire content.	陈海玲 Chenhailing	尹雪晨 Yinxuechen



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4	2023/1/17	删除“5 未获得认可证书转换要求”的相关内容 Delete the relevant content of "5. Requirements for Conversion without Obtaining Accreditation Certificate".	陈海玲 Chenhailing	尹雪晨 Yinxuechen
5	2025/10/30	按新的质量管理体系认证规则增加 4.3 (5) 不符合项关闭时间	廖建英 Liao jian ying	尹雪晨 Yinxuechen

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1 目的 Purpose

为了确保由一个其他的认证机构颁发的管理体系认证证书转换为深大国际认证公司的证书时的认证质量和完整性，特制定本管理办法。To ensure the certification quality and integrity when converting a management system certification issued by another certification body to the certificate of Shenzhen International Certification Company, these measures are hereby formulated.

2 范围 Scope


本程序适用于质量、环境和职业健康安全管理体系认证证书的转换，对于公司认可范围内的证书，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，如果申请方所获的认证未经任何 IAF MLA 签约机构认可，应作为新客户予以对待。This procedure applies to the conversion of quality, environmental, and occupational health and safety management system certification certificates. For certificates within the company's accreditation scope, only certifications recognized by signatory organizations of the International Accreditation Forum (IAF) Multilateral Recognition Arrangement (MLA) are eligible for conversion. If the certification obtained by the applicant is not recognized by any IAF MLA signatory organization, it should be treated as a new customer.

3 引用文件 Reference Documents

CNAS—CC12:2018 《已认可的认证证书的转换》

CNAS — CC12:2018 The transfer of accredited certification of management systems

4 已获得认可证书转换要求 Requirements for the Conversion

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of Recognized Certificates

4.1 拟转换认证证书的客户应向深大国际认证公司提出书面申请，或填写《管理体系认证申请表》并提供评审所需资料。Customers who intend to convert their certification certificates should submit a written application to Shenzhen International Certification Company, or fill out the "Management System Certification Application Form" and provide the necessary materials for the review.


4.2 待转换的认证的资格 Eligibility of Certification to be Converted

(1) 只有 IAF 或区域性 MLA 签约机构在互任结构第 3 层所认可的认证才有资格进行准换。如果资质所获取的认证未经上述认可，应作为新客户予以对待。

Only certifications recognized by IAF or regional MLA signatory organizations at Level 3 of the mutual recognition arrangement are eligible for conversion. If the certification obtained is not recognized by the aforementioned bodies, it should be treated as a new customer.

(2) 只有有效的已获认可的认证有资格被转换。已知被暂停的认证不应接受对其转换 Only valid and recognized certifications are eligible for conversion. Certifications that are known to be suspended should not be accepted for conversion.

(3) 当授予认证的认证机构终止认证业务或其认可资格到期、认可资格被暂停或被撤销时，在以上情况下转换应在六个月内或认证到期前这两者中较早的时间内完成。在这种情况下，转换前深大认证将通知认可机构（计划转换后颁发的认证在其认可范围内）。When the certifying body that issued the certification ceases its certification operations or its accreditation expires, is suspended, or is revoked, the conversion shall be completed within six months or before the expiration of the certification, whichever comes earlier. In such cases, Shenzhen University

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Certification will notify the accreditation body (the certification to be issued after the planned conversion is within its scope of accreditation) before the conversion.

4.3 转换前的评审 Review before Conversion

接到客户申请后，深大国际认证公司将获取充分的信息用于作出认证决定，并将该过程通知客户。这些信息至少包括有关认证周期的安排。After receiving the client's application, Shenzhen International Certification Company will obtain sufficient information for making certification decisions and notify the client of the process. This information should at least include arrangements for the certification cycle.

在作出认证决定之前，审核部应指派匹配认证范围适用的能力的审核组对欲转换认证证书的客户进行评审，参与转换前评审的审核组可有一人或多人组成，审核组能力应满足《审核过程管理程序》中关于审核组的要求。评审可采用文件评审以及经评审识别所需的评审方式，例如发现未解决的严重不符合，应包括对转换客户的转换前现场访问以确认认证的有效性（可以与监督审核共同实施）。评审的内容应包括：

Before making a certification decision, the audit department should assign an audit team that matches the applicable capabilities of the certification scope to review customers who wish to convert their certification certificates. The audit team participating in the pre conversion review may consist of one or more people, and the audit team's capabilities should meet the requirements for audit teams in the Audit Process Management Procedure. The review can adopt document review and the necessary review methods identified through review, such as discovering unresolved serious non conformities, which should include on-site visits to the conversion customer before conversion to confirm the validity of the certification (which can be implemented jointly with supervisory audits). The content of the review should

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include:


(1) 确认客户被认证的活动在深大国际认证公司被认可的认证范围之内；
 Confirm that the activities for which the customer is certified are within the scope of certification recognized by Shenzhen International Certification Company;

(2) 确认颁证机构的获认可范围处于其认可机构的 MLA 范围内； Confirm that the accreditation scope of the certifying agency is within the MLA scope of its accreditation agency;

(3) 调查客户要求转换的原因； Investigate the reasons for the customer's request for conversion;

(4) 拟转换认证的场所（或多个场所）保持着有效的已获认可的认证； The place (or multiple places) that intends to convert certification maintains a valid and recognized certification;

(5) 初次认证或最近的再认证审核报告及最近的监督审核报告，所有在这些审核中发现的但尚未关闭的不符合、以及任何可获得的与认证过程有关的其他文件（初次认证的不符合，应该在第二阶段审核结束之日起 6 个月内完成；监督审核的不符合，在审核结束之日起 3 个月内完成；再认证的不符合，在原认证证书到期前完成）。如果不能获得这些审核报告，或者监督审核或再认证审核并没有按照颁证机构的审核程序完成，则将该组织当作新客户对待； The initial certification or recent re certification audit report, as well as the recent supervisory audit report, all non conformities discovered during these audits but not yet closed, and any other documents related to the certification process that are available. If these audit reports cannot be obtained, or if the supervisory audit or re certification audit has not been completed in accordance with the certification body's audit procedures, the organization shall be treated as a new customer;

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(6) 收到的投诉及采取的措施; Complaints received and measures taken;


(7) 有关制定审核计划和审核方案的考虑。可获得时,对颁证机构制定的审核方案进行评审; Considerations regarding the development of audit plans and audit proposals. When available, review the audit plan formulated by the certification agency;

(8) 目前客户向监管部门约定或承诺的任何与认证范围有关的合规性内容。Any compliance content related to the scope of certification that the client has agreed or promised to regulatory authorities at present.

4.4 认证转换 Certification Conversion

(1) 当验证了针对所有尚未关闭的严重不符合实施的纠正和纠正措施,以及验证接受了客户对所有尚未关闭的轻微不符合的纠正和纠正措施计划后,深大认证才能给转换客户颁发认证。The certification can only be issued to the transferring client by Shenzhen Datong Certification after verifying the corrections and corrective actions implemented for all serious non-conformities that have not been closed, as well as verifying and accepting the customer's plan for corrections and corrective actions for all minor non-conformities that have not been closed.

(2) 对于合同评审阶段确认客户未能提供在原颁证机构认证周期内完整的审核报告及不符合时,深大认证将转换客户当作新客户对待。如果评审阶段识别出问题妨碍转换完成时,深大认证将转换客户当作新客户对待,并将告知客户原因,并将原因形成文件予以保持。If it is confirmed during the contract review stage that the customer fails to provide a complete audit report and non-conformance within the certification cycle of the original certification body, Shenzhen Datong Certification will treat the transferring client as a new customer. If issues are identified during the review stage that prevent the completion of the transfer, Shenzhen Datong Certification will treat the transferring client as a new

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customer, inform the customer of the reasons, and document and maintain these reasons.


(3) 做认证决定的人员不能为实施转换前评审的人员。 The personnel making the certification decision cannot be the same as those implementing the pre-transfer review.

(4) 如果在转换前评审中没有识别出问题则认证周期将基于原有认证周期，深大认证将针对残余的认证周期建立审核方案。根据转换前评审的结论，当深大认证将转换客户当作新客户对待时，认证周期始于认证决定的时间。 If no issues are identified during the pre-transfer review, the certification cycle will be based on the original certification cycle, and Shenzhen Datong Certification will establish an audit plan for the remaining certification cycle. According to the conclusions of the pre-transfer review, when Shenzhen Datong Certification treats the transferring client as a new customer, the certification cycle starts from the time of the certification decision.

4.5 协作 Collaboration

(1) 深大认证将尽力和原颁证机构取得联系，获取所需的全部文件和信息。当不能和颁证机构取得联系时，深大认证将记录原因并尽所有努力从其他来源获取必要的信息。 Shenzhen Certification will make every effort to contact the original certification agency and obtain all necessary documents and information. When unable to contact the certification agency, Shenzhen Certification will record the reason and make every effort to obtain necessary information from other sources.

(2) 深大认证一旦颁发证书，将通知原颁证机构，未能与原颁证机构取得联系时，深大认证将记录原因并从其他渠道进行公示。 Once Shenzhen Certification issues a certificate, it will notify the original certification agency. If it is unable to contact the original certification agency, Shenzhen Certification will record the reason and

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publicize it through other channels.