

 深圳市深大国际认证有限公司 SHENDA INTERNATIONAL CERTIFICATION CO., LTD		版次 Edition	D/3
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审核过程管理程序

Audit Process Management Procedure

发行部门 Issuing Department:	技术审核部 Technical Audit Department	日期 Date:	2026 年 8 月 26 日 August 26, 2026
编 制 Preparation:	黄美秀 Huangmeixiu	日期 Date:	2026 年 8 月 26 日 August 26, 2026
审 核 Audit:		日期 Date:	2026 年 8 月 26 日 August 26, 2026
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文 件 会 签 File Revision Record				
部 门 Department	市场拓展部 Market Development Department	技术审核部 Technical Audit Department	农食认证部 Agriculture and Food Certification Department	行政人事部 Administrative and Human Resources Department
签 字 Signature				
日 期 Date	2026.8.26	2026.8.26	2026.8.26	2026.8.26

文 件 修 订 记 录 File Revision Record				
序号 Serial Number	修订日期 Revision Date	修订内容 Revision Content	修订人 Revisor	批 准 Approval
1	2015/11/25	删除对能源管理体系审核过程的管理要求。Delete the management requirements for the audit process of the energy	吴雅玲 Wuyaling	尹雪晨 Yinxuechen
2	2016/5/25	增加对食品安全管理体系的审核过程的管理要求。Add management requirements for the audit process of the food safety	吴雅玲 Wuyaling	尹雪晨 Yinxuechen
3	2016/10/15	《质量管理体系认证规则》（法规修订）"Quality Management System Certification Rules" (Revision of Regulations)	李波 Libo	尹雪晨 Yinxuechen
4	2018/1/3	增加 4.3 技术专家、4.4 观察员、4.5 向导的职责说明 Add the descriptions of responsibilities for 4.3 Technical Experts, 4.4 Observers, and 4.5 Guides.	陈海玲 Chenhailing	尹雪晨 Yinxuechen
5	2019/7/25	修改引用文件 Modify the reference document.	陈海玲 Chenhailing	尹雪晨 Yinxuechen

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6	2020/2/11	增加诚信管理体系审核过程的管理要求、突发事件或情况的管理要求.增加终止审核报批流程、增加接受客户对审核组调整的准则 Add management requirements for the audit process of the integrity management system and management requirements for emergencies or situations. Add an approval process for terminating the audit, and add guidelines for accepting clients' adjustments to the audit team.	陈海玲 Chenhailing	尹雪晨 Yinxuechen
7	2020/3/10	增加 HACCP 体系审核过程的管理要求 Add management requirements for the audit process of the HACCP system.	陈海玲 Chenhailing	尹雪晨 Yinxuechen
8	2020/4/10	增加良好农业规范认证、有机产品认证检查过程的管理要求 Add management requirements for the inspection process of Good Agricultural Practices (GAP) certification and organic product certification.	陈海玲 Chenhailing	尹雪晨 Yinxuechen
9	2020/6/1	修订 6.1.3.3 审核过程、7.2 纠正措施跟踪验证、7.4 认证决定的部分要求 Revise the requirements of 6.1.3.3 Audit Process, 7.2 Corrective Measures Tracking and Verification, and parts of the requirements in 7.4 Certification Decision.	陈海玲 Chenhailing	尹雪晨 Yinxuechen
10	2020/11/5	6.2.4 增加对监督审核内容的要求 Add requirements for the content of supervisory audits in 6.2.4.	陈海玲 Chenhailing	尹雪晨 Yinxuechen
11	2021/4/15	依据 CNCA-N-007: 2021 《食品安全管理体系认证实施规则》修订 Revise in accordance with CNCA-N-007:2021 "Implementation Rules for Food Safety Management System Certification".	夏治明 Xizhiming	陈海玲 Chenhailing

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12	2022/2/21	修订了 6.1.2.3、6.1.3.2、新增 6.2.5、6.2.6、6.2.7、6.2.8 Revised 6.1.2.3, 6.1.3.2, added 6.2.5, 6.2.6,	姚菊芳 Yaojufang	尹雪晨 Yinxuechen
13	2023/1/17	6.1.3.3b)增加 OHSMS 审核应面谈人员及宜面谈人员；6.1.3.3e)增加末次会议参会人员要求。 Add the personnel who should be interviewed and those who should preferably be interviewed during the OHSMS audit in 6.1.3.3b). Add the requirements for participants of the final meeting in 6.1.3.3e).	姚菊芳 Yaojufang	尹雪晨 Yinxuechen
14	2023/3/6	修订 6.1.2 一阶段非现场的理由、修订 6.1.3.1 1)、6.1.3.2 d)、6.1.3.3 b)、6.2.1、6.2.8 1) 细化审核有效性的要求 Revise the reasons for the non-site phase of 6.1.2, revise 6.1.3.1 1), 6.1.3.2 d), 6.1.3.3 b), 6.2.1, and refine the requirements for audit effectiveness in 6.2.8 1).	姚菊芳 Yaojufang	尹雪晨 Yinxuechen
15	2023/5/10	增加 ISMS、EnMS 审核要求 Add audit requirements for ISMS and EnMS.	黄美秀 Huangmeixiu	尹雪晨 Yinxuechen
16	2023/10/10	增加 ITSMS 的审核要求 Add audit requirements for ITSMS.	黄美秀 Huangmeixiu	尹雪晨 Yinxuechen
17	2023/12/21	更新参照文件 Update the reference document.	黄美秀 Huangmeixiu	尹雪晨 Yinxuechen
18	2024/1/30	修订 6.1.3.2d) Revise 6.1.3.2d).	姚菊芳 Yaojufang	胡迅 Huxu
19	2024.7.31	修订 6.1.2.10 Revise 6.1.2.10.	黄美秀 Huangmeixiu	胡迅 Huxu

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20	2025.1.17	修订 6.1.1.8、6.1.3.1 Revise 6.1.1.8 and 6.1.3.1.	姚菊芳 Yaojufang	蒋汶婷 Jiangwenting
21	2025.11.4	按新版质量认证规则修订	黄美秀 Huangmeixiu	蒋汶婷 Jiangwenting
22	2026.2.6	按新版认证规则修订	黄美秀 Huangmeixiu	陈海玲 Chenhailing
23	2026.8.26	格式调整	黄美秀 Huangmeixiu	陈海玲 Chenhailing

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1 范围 Scope

本程序规定了审核方案实施过程中的有关规定。适用于公司依据管理体系标准进行各管理体系的审核。

This procedure specifies the relevant regulations in the implementation process of the audit plan. It is applicable to the company's audit of various management systems in accordance with management system standards.

多现场审核的要求见《多场所认证注册规定》。

Requirements for multi-site audits are detailed in the "Rule for the Accreditation of Certification Bodies with Multi-premises".

2 参照文件 Reference Document

CNAS-CC01:2015 《管理体系认证机构要求》

CNAS-CC01:2015 Requirements for bodies providing audit and certification of management systems

GB/T 19011-2021 IDT ISO 19011:2018 《管理体系审核指南》

ISO 19011:2018 Guidelines for auditing management systems

GB/T 19000-2016 《质量管理体系 基础和术语》

ISO 9000:2015 Quality management systems-Fundamentals and vocabulary

CNAS-CC180:2023 《食品安全管理体系认证机构要求》（ISO 22003-1:2022）

CNAS-CC180:2023 Accreditation scheme for FSMS certification bodies

CNCA-N-007: 2021 《食品安全管理体系认证实施规则》

Food Safety Management System Certification Implementation Rules

GB/T 19001-2016 IDT ISO 9001:2015 《质量管理体系 要求》

ISO 9001:2015 Quality management systems--Requirements

GB/T 24001-2016 IDT ISO 14001:2015 《环境管理体系 要求及 使用指南》

GB/T 24001-2016 IDT ISO 14001:2015 Environmental management systems-Requirements with guidance for use

GB/T 22000 《食品安全管理体系 食品链中各类组织的要求》

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ISO 22000 Food safety management systems: Requirements for any organizations in the food chain

GB/T 45001—2020 IDT ISO 45001:2018 《职业健康安全管理体系 要求及使用指南》

ISO 45001:2018 Occupational health and safety management systems Requirements with guidance for use

GB/T 31950-2023 《企业诚信管理体系 要求》

GB/T 31950-2023 Integrity management system of enterprise—Requirements

GB/T 42061-2022 IDT ISO13485:2016 《医疗器械 质量管理体系用于法规的要求》

GB/T42061-2022 IDT ISO13485:2016 Medical devices—Quality management systems Requirements for regulatory purposes

危害分析与关键控制点（HACCP）体系认证要求（V1.0）

Hazard Analysis and Critical Control Point (HACCP) System Certification Requirements (V1.0)

GB/T 23331-2020 《能源管理体系 要求及使用指南》

GB/T 23331-2020 Energy management systems—Requirements with guidance for use

GB/T 22080: 2025 《网络安全技术 信息安全管理体系 要求》

GB/T 22080 : 2025 Cybersecurity technology — Information security management systems — Requirements

CNAS-SC185:2023 《危害分析与关键控制点（HACCP）体系认证机构认可方案》

CNAS-SC185:2023 Accreditation Scheme for HACCP Management System Certification Bodies

HACCP管理体系认证管理规定（2002年第3号公告）

HACCP Management System Certification Regulations (Announcement No. 3 of 2002)

CNAS-SC21:2017 《良好农业规范（GAP）认证机构认可方案》

CNAS-SC21:2017 Accreditation Scheme for Good Agriculture Practice (GAP) Certification Bodies

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CNAS-SC22:2017 《实施有机产品认证的认证机构认可方案》

CNAS-SC22:2017 Accreditation Scheme for Organic Certification Bodies

《有机产品认证管理办法》（总局令第166号）原质检总局令第155号

Measures for the Administration of Organic Product Certification (Order No. 166 of the State Administration for Market Regulation, formerly General Administration of Quality Supervision, Inspection and Quarantine Order No. 155)

CNCA-N-004:2014良好农业规范认证实施规则

CNCA-N-004:2014 Implementation Rules for Good Agricultural Practices Certification

CNCA-N-009:2025有机产品认证实施规则

CNCA-N-009:2025 Implementation Rules for Organic Product Certification

IAF ID3:2011 《影响认可机构、合格评定机构和获证组织的突发事件或情况的管理》

IAF ID3:2011 Management of emergencies or situations affecting accreditation bodies, conformity assessment bodies, and certificate holders.

CNAS-CC190:2021 《能源管理体系认证机构要求》

CNAS-CC190:2021 Requirements for Energy Management System Certification Bodies

CNAS-SC190:2021 《能源管理体系认证机构认可方案》

CNAS-SC190:2021 'Energy Management System Certification Body Accreditation Scheme'

CNAS-CC170:2024 《信息安全管理体系统认证机构要求》

CNAS-CC170:2024 Requirements for Information Security Management System Certification Bodies

CNAS-SC170:2024 《信息安全管理体系统认证机构认可方案》

CNAS-SC170:2024 Accreditation Scheme for ISMS Certification Bodies

CNAS-CC175:2017 《信息技术 服务管理体系认证机构要求》

CNAS-CC175:2017 Requirements for bodies providing audit and certification of service management systems based on ISO/IEC 20000-1

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CNAS-SC175:2024 《基于ISO/IEC 20000-1的服务管理体系认证机构认可方案》

CNAS-SC175:2024 Accreditation scheme for bodies providing audit and certification of service management systems based on ISO/IEC 20000-1

CNCA-QMS-01:2025 《质量管理体系认证实施规则》 Quality management systems Certification Rules

CNCA-EMS-01:2026 《环境管理体系认证规则》 Environmental management systems Certification Rules

CNCA-OHSMS-01:2026 《职业健康安全管理体系认证规则》 Occupational health and safety management systems Certification Rules

CNCA-ISMS-01:2026 《信息安全管理体系统认证规则》 Information security Management systems Certification Rules

CNCA-ITSMS-01:2026 《信息技术服务管理体系认证规则》 Information technology service management systems Certification Rules

CNCA-EnMS-01:2026 《能源管理体系认证规则》 Energy management systems Certification Rules

3 审核原则 Audit Principles.

以下原则与审核员有关 The following principles are related to auditors:

- a) 道德行为：诚信、正直、保守秘密和谨慎 Ethical behavior: integrity, honesty, confidentiality, and due care;
- b) 公正表达：真实、准确的报告 Fair presentation: truthful and accurate reporting;
- c) 职业素养：勤奋并具有判断力 Professionalism: diligence and having judgment;

以下原则与审核有关 The following principles are related to audits:

- d) 独立性：审核公正性和审核结论的客观性的基础 Independence: the basis for the fairness of audits and the objectivity of audit conclusions;
- e) 基于证据的方法：审核的证据是可证实的 Evidence-based approach: the evidence in audits is verifiable.

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g) 基于风险的方法：考虑风险和机遇的审核方法Risk-based approach: an audit approach that takes risks and opportunities into account;

4 职责 Responsibilities.

4.1 审核组长 Audit Team Leader.

4.1.1 审核阶段的工作均由审核组长全权负责。审核组长应具备管理能力和经验，有权对审核工作的开展和审核观察结果作决定。The audit team leader is fully responsible for the work at each audit stage. The audit team leader should possess management capabilities and experience, and have the authority to make decisions on the conduct of the audit work and the audit findings.

4.1.2 审核组长的主要职责The main responsibilities of the audit team leader.:

- 1) 确认审核组能力，包括人员资质、能力、公正性等Confirm the capabilities of the audit team, including theConfirm the capabilities of the audit team, including the and impartiality of its;
- 2) 与受审核方建立联系，确认审核条件，包括审核时间、行程等，适用时，应包括确认远程审核的条件；Establish contact with the auditee to confirm the audit conditions, including the audit time and itinerary. When applicable, this should include confirming the conditions for remote audits.
- 3) 制定审核计划，明确审核人员分工，领导、组织、协调审核活动，发挥技术专家作用，组织审核，对审核任务负责；

Establish contact with the auditee to confirm the audit conditions, including the audit time and itinerary. When applicable, this should include confirming the conditions for remote audits.;

- 4) 关注审核策划工作的细节，以确保充分性。如：受审核方确切的工作时间、午餐时间、每个部门和班次的确切人数；根据需要安排必要的现场巡视，以便更全面了解企业的总体情况，确保审核的充分性和有效性；如发现与审核策划不同且影响审核的充分性和有效性的情况，应上报技术审核部经理。 Pay attention to the details of the audit planning work to ensure its sufficiency.

For example: the exact working hours and lunch breaks of the auditee, the exact number of

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people in each department and shift; arrange necessary on-site tours as needed to gain a more comprehensive understanding of the overall situation of the enterprise, ensuring the sufficiency and effectiveness of the audit; if any situations different from the audit planning that affect the sufficiency and effectiveness of the audit are found, they should be reported to the audit department manager.

5) 组织首末次会议，向受审核方传达、阐明审核要求，实施审核检查，报告审核结果并对其负责；Organize the opening and closing meetings, convey andOrganize the opening and closing meetings, convey and the auditee, carry out carry out the audit inspections, report the audit results, and be responsible for them.

6) 负责审核过程的协调沟通工作，包括审核组内部、审核组与受审核方间的交流；Organize the opening and closing meetings, convey andOrganize the opening and closing meetings, convey and the auditee, carry out carry out the audit inspections, report the audit results and take responsibility for them.

7) 负责审核过程中各类状况的处理及处置决定，包括调整审核计划、变更认证范围、审核终止决定等。Organize the opening and closing meetings, convey andOrganize the opening and closing meetings, convey and the auditee, conduct auditBe responsible for the coordination and communication during the audit process, including exchanges within the audit team and between the audit team and the auditee;

Be responsible for handling and disposing of various situations during the audit process, including adjusting the audit plan, changing the certification scope, deciding to terminate the audit, etc.

4.2 审核组员 Audit Team Member.

4.2.1 审核组员协助审核组长工作，不应有偏见和受其他有可能损害审核工作客观性的影响
Audit team members assist the audit team leader in their work and should not have biases or be influenced by other factors that may compromise the objectivity of the audit work. 。

4.2.2 审核组员的主要职责The main responsibilities of the audit team members. :

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- 1) 在审核组长的安排下，按其分工独立地完成承担的审核任务Under the arrangement of the audit team leader, independently complete the audit tasks undertaken according to their division of labor;
- 2) 将有关的审核结果写成书面材料，报告审核组长，对审核的客观性、公正性负责Write the relevant audit results into written materials and report them to the audit team leader, taking responsibility for the objectivity and fairness of the audit;
- 3) 遵守审核纪律和保守机密，对违纪和失密后果负责Comply with audit discipline and maintain confidentiality, being held accountable for any breaches of discipline or confidentiality。

4.3 技术专家 Technical Experts

4.3.1 必要时，审核组可配备适宜的技术专家When necessary, the audit team may be equipped with suitable technical experts. 。

4.3.2 技术专家的主要职责The primary responsibilities of a technical expert include:

- 1) 对审核组中非相应专业的审核员进行专业知识介绍或培训Providing professional knowledge introduction or training to auditors in the audit team who are not from the relevant field;
- 2) 向审核组讲解相关的法律、法规和强制性标准要求Explaining relevant laws, regulations, and mandatory standard requirements to the audit team;
- 3) 对审核组提出的技术问题给予指导Offering guidance on technical issues raised by the audit team;
- 4) 保守受审核方机密Maintaining confidentiality regarding the information of the audited party。

4.3.3 应在实施审核前与客户就技术专家在审核活动中的作用达成一致。技术专家不应担任审核组中的审核员，技术专家应由审核员陪同。

4.3.3 The role of technical experts in the audit activities should be agreed upon with the client prior to the implementation of the audit. Technical experts shall not serve as auditors in the audit team and should be accompanied by auditors.

4.4 观察员 Observer

4.4.1 如有要求时，审核组可配置适宜的观察员

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4.4.1 When required, the audit team may be equipped with appropriate observers.

4.4.2 观察员可以是客户组织的成员、咨询人员、实施见证的认可机构人员、监管人员或其他有合理理由的人员。审核组应确保观察员不对审核过程或审核结果造成不当影响或干预。

4.4.2 Observers may include members of the client's organization, consultants, personnel from accreditation bodies witnessing implementation, regulatory personnel, or other individuals with reasonable justification. The audit team shall ensure that observers do not improperly influence or interfere with the audit process or results.

4.4.3 应在实施审核前与客户就观察员在审核活动中的作用达成一致

4.4.3 The role of observers in the audit activities should be agreed with the client before the audit is carried out

4.5 向导 Guide

4.5.1 每个审核员应由一名向导陪同，除非审核组长与客户另行达成一致。为审核组配备向导是为了方便审核。审核组应确保向导不影响或不干预审核过程或审核结果

4.5.1 Each auditor should be accompanied by a guide, unless the lead auditor and the client reach another agreement. The provision of a guide for the audit team is for the convenience of the audit. The audit team shall ensure that the guide does not affect or interfere with the audit process or results. .

4.5.2 向导的主要职责The main responsibilities of the guide are as follows:

- a) 为面谈建立联系或安排时间Establish contact or arrange appointments for interviews;
- b) 安排对现场或组织的特定部分的访问Arrange access to specific parts of the site or organization;
- c) 确保审核组成员知道并遵守关于现场安全和安保程序的规则Ensure that members of the audit team know and comply with the rules regarding site safety and security procedures;
- d) 代表客户观察审核Observe the audit on behalf of the client;
- e) 应审核员请求提供澄清或信息Provide clarification or information upon request from the auditor

4.6 翻译人员 Translator

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4.6.1 必要时，审核组可配备适宜的翻译人员 When necessary, the audit team may be equipped with suitable translators. 。

4.6.2 翻译人员的主要职责 The main responsibilities of a translator are:

- 1) 负责担任审核员及受审核方人员沟通的语言翻译 To serve as a language translator for communication between auditors and personnel from the audited party;
- 2) 向受审核方人员讲解认证审核过程相关要求及注意事项 To explain the relevant requirements and precautions of the certification audit process to personnel from the audited party;
- 3) 协调解决审核员及受审核方之间的风俗习惯及文化差异 To coordinate and resolve cultural differences and customs between auditors and personnel from the audited party;
- 4) 保守受审核方机密 To maintain the confidentiality of the audited party. 。

4.3.3 应在实施审核前与客户就翻译人员在审核活动中的作用达成一致。翻译人员不应担任审核组中的审核员，翻译人员应由审核员陪同

4.3.3 It is necessary to reach an agreement with the client on the role of the translator in the audit activity before implementing the audit. The translator should not act as an auditor in the audit team and should be accompanied by an auditor.

4.7 技术审核部经理负责本程序的实施及控制 The audit manager is responsible for the implementation and control of this procedure. 。

4.8 技术审核部计划管理人员负责按要求安排审核组满足专业能力和人日要求，并对过程变化进行监控及管理

4.8 Technical Audit Department's planning manager is responsible for arranging the audit team to meet professional competence and man-day requirements, as well as monitoring and managing changes in the process. 。

4.9 行政人事部上报员按相关要求将审核计划上报国家认监委，食品（包括 FSMS、HACCP、有机等）在现场审核/检查实施前 5 日上报，其他体系在现场审核实施前 3 日上报。The administrative personnel department reporter shall submit the audit plan to the National Certification and Accreditation Administration in accordance with relevant requirements. Food (including FSMS, HACCP, organic, etc.) shall be reported 5 days

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before the implementation of on-site audit/inspection, and other systems shall be reported 3 days before the implementation of on-site audit.

注：所有与认证有关的人员对认证活动中所知悉的国家秘密、商业秘密负有保密义务。应通过在法律上具有强制实施力的协议，确保认证活动中所获得的信息在未经认证委托人书面同意的情况下，不向第三方透漏，认证行政监管有要求的除外。

Note: All personnel related to certification are obligated to keep confidential the state secrets and business secrets they are aware of during certification activities. Agreements with legally enforceable force should be adopted to ensure that information obtained during certification activities is not disclosed to third parties without the written consent of the certification client, except where required by certification administrative supervision.

5 审核活动的分类 Classification of audit activities

管理体系认证审核应在认证委托人的现场实施，我司将审核活动分为四种类型：

The management system certification audit should be conducted on-site at the certification client's premises. Our company categorizes audit activities into four types:

- 1) 初次认证审核（初评）Initial certification audit (initial evaluation)
- 2) 认证周期内的每年度的监督审核（监督）Supervision and audit for each year within the certification cycle (supervision)
- 3) 再认证审核（再认证）Re-certification audit (re-certification)
- 4) 特殊审核。Special audit.

注：初次认证审核应分两个阶段进行；再认证审核，除需进行第二阶段审核外，如当管理体系有重大变更时，其审核活动也可能仍需要第一阶段审核。

Note: The initial certification audit should be conducted in two stages; for re-certification audit, in addition to the need for a second-stage audit, if there are significant changes in the management system, the audit activities may still require a first-stage audit.

6 工作程序 Working procedures

技术审核部在对申请方实施审核前应对审核方案进行策划。审核方案的策划包括认证证书有效期内对审核的策划，包括初次审核（再认证审核）和监督审核的策划。若无特殊要求，按以下

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规定进行；若有特殊要求（如整合审核），应对审核方案进行特别策划。

The Technical Audit Department shall plan the audit program before conducting the audit on the applicant. The audit program planning includes the planning of the audit during the validity period of the certification certificate, including the planning of the initial audit (re-certification audit) and the supervision audit. If there are no special requirements, it shall be carried out in accordance with the following provisions; if there are special requirements (such as integrated audit), the audit program shall be specially planned.

技术审核部应按照文件《审核人日数规定》确定审核人日数，保持审核方案实施的记录。核方案的管理见《审核方案管理程序》。

The Technical Audit Department shall determine the number of audit days in accordance with the document "Audit Man-Day Regulations" and keep records of the implementation of the audit plan. For the management of the audit plan, please refer to the "Audit Plan Management Procedure".

6.1 初次认证审核 Initial certification audit

初次认证审核应分为两个阶段实施：第一阶段审核和第二阶段审核。两个阶段审核时间间隔最短不应少于 5 日，最长不应超过 6 个月。如需要更长的时间间隔，应重新实施第一阶段审核。The initial certification audit should be conducted in two stages: the first-stage audit and the second-stage audit. The minimum time interval between the two stages of audits should not be less than 5 days, and the maximum should not exceed 6 months. If a longer time interval is required, the first-stage audit should be conducted again.

6.1.1 审核准备 Audit preparation:

6.1.1.1 审核组 Audit Team

技术审核部审核方案管理人员按照受审核方申请及技术审核部评价的专业及风险安排审核任务，确定审核组组长及审核组成员组成审核组。审核组通用要求如下 The audit plan management personnel of the Technical Audit Departmentt arranges the audit tasks according to the application of the auditee and the professional and risk evaluation of the technical department, and determines the audit team leader and audit team members to form the audit team. The general

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requirements of the audit team are as follows:

- 1) 根据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和/或技术专家组成审核组。审核组中的审核员承担审核责任 Select auditors and/or technical experts with relevant capabilities to form an audit team based on the professional and technical fields of activities covered by the management system. Auditors in the audit team shall bear the audit responsibility;
- 2) 审核组长应为公司聘用的正式审核员 The audit team leader should be a formal auditor employed by the company;
- 3) 审核组中至少有一名具有该专业项目资格的专业审核员或技术专家（工程建设施工企业质量管理体系不得仅有技术专家），至少有一名专职或兼职的正式审核员 The audit team must have at least one professional auditor or technical expert with the professional project qualification (the quality management system of the engineering construction enterprise shall not have only technical experts), and at least one full-time or part-time formal auditor;
- 4) 审核组中实习审核员的数量不得超过正式审核员总数。实习审核员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，适用时，给予相应考核及相关培训需求的识别 The number of intern auditors in the audit team shall not exceed the total number of formal auditors. Intern auditors shall participate in the audit under the guidance of the auditors, shall not be included in the audit time, and shall not issue separate audit documents such as records. The auditors in the audit team shall be responsible for their activities during the audit process and, when applicable, shall be given corresponding assessments and identification of relevant training needs.
- 5) 选择审核组成员时，应考虑和评价如下因素 When selecting audit team members, the following factors should be considered and evaluated:
 - a) 熟悉适用的法律法规，认证/注册程序和要求的程度 The extent of familiarity with applicable laws and regulations, certification/registration procedures and requirements;
 - b) 对审核方法和审核过程文件的熟悉程度 familiarity with the audit methodology and

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audit process documentation;

c) 对认证/注册的特定活动及相关程序和失效的潜在可能有适当的技术知识（该项工作也可以通过委派非审核员的技术专家完成）have appropriate technical knowledge of the specific activities of certification/registration and the associated procedures and potential for failure (this work can also be accomplished by assigning technical experts other than auditors);

d) 有足够的理解能力对受审核方在其认证/注册范围内提供产品、加工或服务能力进行可信性评价 Have sufficient understanding to conduct credibility assessment of the auditee's ability to provide products, processes or services within its certification/registration scope;

e) 审核经验和技能（包括口头和书面表达能力及交流）Audit experience and skills (including oral and written expression and communication skills);

f) 与公正性有关的内容（如过去两年内是否参与了与受审核方或受审核方有关机构的咨询活动，审核组的成员应在评审之前，将其与被审核方现在、以往或计划中任何关系报告给技术审核部）Content related to impartiality (e.g., whether the audit team has participated in consulting activities with the auditee or its related organizations in the past two years; members of the audit team should report any current, past or planned relationship with the auditee to the Technical Audit Department before the review);

g) 与受审核方没有商业利益关系：为确保没有利益冲突，如参与对某组织 管理体系技术服务的人员，2 年内不应安排针对该组织的审核或其他认证活动。There is no commercial interest relationship with the audited party: To ensure there is no conflict of interest, personnel involved in providing technical services to an organization's management system should not be arranged for audits or other certification activities targeting the organization within 2 years.。

6) 原则上，质量、环境、职业健康安全、食品安全管理体系、诚信管理体系的第二阶段审核组中至少应包含一名第一阶段的审核员 In principle, the second-stage audit team for quality, environment, occupational health and safety, food safety management system, and integrity management system should include at least one auditor from the first stage.

6.1.1.2 食品安全管理体系认证和危害分析与关键控制点体系认证的审核组除满足通用要求外，

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还需满足：

6.1.1.2 In addition to complying with the general requirements, the audit teams for Food Safety Management System (FSMS) certification and Hazard Analysis and Critical Control Point (HACCP) system certification shall also meet the following requirements:

1) 初次认证审核组至少由二名审核员组成 The initial certification audit team shall consist of at least two auditors;

2) 第一、二阶段审核组组长宜为同一人，第二阶段审核组中至少应包含一名第一阶段的审核员 The leader of the first and second stage audit teams should be the same person , and the second stage audit team should include at least one auditor from the first stage;

3) 同一审核员连续对同一生产现场实施认证审核的次数最多为 6 次。一阶段审核和特殊审核不计入审核次数 The maximum number of times the same auditor can conduct certification audits on the same production site is 6. Phase I audits and special audits are not counted in the audit frequency。

4) 审核组应具备对审核所要求的特定种类运用前提方案、危害分析、操作性前提方案计划、HACCP 计划的能力 The audit team should have the ability to apply prerequisite programs, hazard analysis , operational prerequisite program plans, and HACCP plans to the specific types of audits required;

5) 审核组成员身体健康，并有健康证明；审核组如果需要技术专家提供支持，技术专家应具有食品工程、食品科学或相关专业大学本科以上学历或中级职称（含中级职称）以上资格，熟悉食品生产过程或服务。身体健康具有健康证明 Audit team members are in good health and have health certificates; if the audit team needs support from technical experts, the technical experts should have a bachelor's degree or above in food engineering, food science or related majors, or a mid-level professional title (including mid-level professional title) or above, and be familiar with food production processes or services. Good health and have health certificates。

6) 审核组成员的专业能力已经被深大认证评定 The professional competence of the audit

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team members has been assessed by the certification body;

6.1.1.3 建筑施工领域质量体系认证的审核组除满足通用要求外还需满足

6.1.1.3 In addition to meeting the general requirements , the audit team for quality system certification in the construction field must also meet the following requirements:

1) 审核组每位审核员应按规定完成 GB/T 50430-2007 《工程建设施工企业质量管理规范》的培训并考试合格；具备 GB/T 19001-2016 和 GB/T 50430-2007 审核的能力 Each auditor in the audit team should complete GB/T 50430-2007 "Engineering Construction Enterprise Quality Management Standard" training and pass the examination; have GB/T 19001-20 16 and GB/T 50430-2007 Auditing capabilities;

2) 审核组应具备符合要求的专业审核员 The audit team should have qualified professional auditors;

3) 需要时，可以聘用技术专家为审核组提供技术支持，技术专家的专业能力应不低于审核员的专业能力要求 When necessary, technical experts can be hired to provide technical support to the audit team . The professional capabilities of technical experts should not be lower than the professional capabilities required of auditors.

evaluation team for the “three same” certification of consumer products must also meet the following requirements。

6.1.1.4 消费品“三同”认证的评价组除满足通用要求外还需满足

6.1.1.4 Evaluation team for the “three same” certification of consumer products must also meet the following requirements:

(1) 评价组由不少于 5 人且为奇数的评价人员组成。评价组长由行业主管部门、企业联盟或深圳市认证认可协会委托我机构指定具有相应能力的人员担任 The evaluation team shall consist of an odd number of not less than 5 persons. The leader of the evaluation team shall be a person with corresponding capabilities appointed by the competent industry department, enterprise alliance or Shenzhen Certification and Accreditation Association。

6.1.1.5 信息安全管理体系统认证审核组除满足通用要求外还需满足 In addition to meeting the

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general requirements, the information security management system certification audit team must also meet the following requirements:

1) 技术审核部应正式任命审核组并为其提供相应的工作文件。技术审核部应明确地规定审核组的任务,并使客户知晓 The Technical Audit Department shall formally appoint the audit team and provide them with the corresponding work documents. The Technical Audit Department shall clearly define the tasks of the audit team and make them known to the client。

2) 审核组可以由一个人组成,只要其满足实施 ISMS 审核的能力要求规定的全部准则 The audit team may consist of one individual, provided that he or she meets all the criteria set out in the competence requirements for conducting ISMS audits。

3) 对于监督和特殊审核活动,仅那些与所安排的监督活动 和特殊审核活动相关的要求适用。 当为特定认证审核选择审核组时,深大认证确保每次委派时审核组的能力是适宜的。For surveillance and special audit activities, only those requirements that are relevant to the surveillance and special audit activities scheduled shall apply. When selecting an audit team for a specific certification audit, the certification body shall ensure that the competence of the audit team is appropriate for each assignment.

审核组应 The audit team should:

a) 对拟认证 ISMS 范围内的特定活动具备适当的技术知识,以及相关时,对这些活 动的相关规程和其潜在信息安全风险具备适当的技术知识(技术专家可以履行此 项职责) Have appropriate technical knowledge of the specific activities within the scope of the ISMS to be certified and, where relevant, the relevant procedures for those activities and their potential information security risks (a technical expert may fulfil this responsibility);

b) 理解客户,足以基于客户 ISMS 范围和组织环境对 ISMS(该体系管理着客户活动、 产品和服务的信息安全)进行可靠的认证审核 Understand the client sufficiently to conduct a reliable certification audit of the client's ISMS (which manages the information security of the client's activities, products and services) based on the client's ISMS scope and organizational context;

c) 适当地理解适用于客户 ISMS 的法律法规要求 have an appropriate understanding of the legal

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and regulatory requirements applicable to the client's ISMS。

6.1.1.6 审核组长确保审核组检查认证/注册组织的组织结构、方针和程序，并确认这些都满足认证/注册范围的全部要求，且程序已经执行，受审核方的产品、过程或服务可信 The audit team leader ensures that the audit team examines the certification/registration organization's organizational structure, policies and procedures and confirms that these meet all requirements of the certification/registration scope and that the procedures have been implemented and that the auditee's products, processes or services are trustworthy。

6.1.1.7 如遇下列情况，受审核方可要求对审核组成员进行调整 The auditee may request adjustments to the audit team members in the following circumstances:

(1) 审核组成员与客户有利益关系（包括债务、劳工关系等） The audit team members have a vested interest in the client (including debt, labor relations, etc.);

(2) 审核组成员与客户为亲属关系 The audit team members are relatives of the client.

6.1.1.8 成文信息评审（文件审核） Review of written information (document review)

应评审受审核方的相关管理体系的成文信息，以 The auditee's relevant management system documented information shall be reviewed to:

——收集信息，例如过程、职能方面的信息，以了解受审核方的运行，准备审核活动和适用的审核工作文件 Collect information, such as process and functional information, to understand the auditee's operations, prepare audit activities and applicable audit work documents。

——了解成文信息的范围和程度的概况，以确定是否可能符合审核准则，并发现可能关注的区域，如缺陷、遗漏或冲突 Get an overview of the scope and extent of documented information to determine whether the audit criteria are likely to be met and to identify areas of possible concern, such as deficiencies, omissions or conflicts。

成文信息应包括但不限于：管理体系文件和记录，以及以前的审核报告。评审应考虑受审核方组织所处的环境，包括其规模、性质和复杂程度，以及相关风险和机遇。还应考虑审核范围、准则和目标 Documented information should include, but is not limited to: management system documents and records, and previous audit reports. The review should take into account

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the auditee's organizational context, including its size, nature and complexity, and associated risks and opportunities. The audit scope, criteria and objectives should also be considered.

备注 Remark:

- 1、关注多场所受审核方的管理体系的成文信息，如手册是否覆盖了所有场所信息，内审和管评是否覆盖了所有场所 Pay attention to the documented information of the management system of the auditee with multiple sites, such as whether the manual covers all site information, and whether the internal audit and management assessment cover all sites;
- 2、成文信息评审应在一阶段开始之前由审核组长完成 The review of documented information should be completed by the audit team leader before the start of a phase.
- 3、当再认证和监督审核发生变更（如：公司名、地址、产品/服务/活动、组织架构、认证标准等）时，审核组长应在审核开始前完成文件审核 When changes occur during recertification and surveillance audits (e.g. company name, address, products/services/activities, organizational structure, certification standards, etc.), the audit team leader should complete the document review before the audit begins.

6.1.2 第一阶段审核实施 Implementation of the first phase of audit:

6.1.2.1 第一阶段审核的目的是通过了解认证委托人的管理体系和其对第二阶段的准备情况，确定其是否具备接受第二阶段审核的条件并策划第二阶段审核的关注点。第一阶段审核的内容包括但不限于以下方面：The purpose of the first stage audit is to understand the management system of the certification client and their preparation for the second stage, determine whether they have the conditions to accept the second stage audit, and plan the focus of the second stage audit. The content of the first stage audit includes but is not limited to the following aspects:

（1）了解认证委托人的情况，包括其活动、产品和服务、设施设备、工艺流程、现场运作以及适用的（如受审核方运行的质量、环境、法律因素、诚信因素、相关风险等）标准；Understand the situation of the certification client, including their activities, products and services, facilities and equipment, process flow, on-site operations, and applicable standards (such as the quality, environment, legal factors, integrity factors,

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related risks, etc. of the audited party's operations);

(2) 评审认证委托人管理体系文件，确认其与认证委托人业务活动及产品和服务相吻合；Review the management system documents of the certification client to confirm their alignment with the client's business activities, products, and services;

(3) 确认认证委托人申请信息和文件资料的真实性；Confirm the authenticity of the information and documents requested by the authentication client;

(4) 审核认证委托人理解和实施GB/T19001及管理体系的情况，特别是对管理体系关键绩效、过程和运行及管理目标识别情况；Review and certify the client's understanding and implementation of GB/T19001 and the management system, especially the identification of key performance, processes, operations, and management objectives of the management system;

(5) 确认认证委托人是否为第二阶段审核做好准备，已实施了内部审核和管理评审；对于符合多场所抽样条件的组织，应确保（如通过合同约定）认证委托组织在认证前一年内对每个场所进行了内部审核，适用时，应提供纠正措施的有效性。获证后，多场所组织每年的内部审核应覆盖组织认证范围内的所有场所，并应证实纠正措施的持续有效。Confirm whether the certification client is ready for the second stage audit and has implemented internal audits and management reviews; For organizations eligible for multi-site sampling, it shall be ensured (e.g., through contractual agreements) that the organization applying for certification has conducted internal audits for each site within one year prior to certification. Where applicable, evidence of the effectiveness of corrective actions shall be provided. After certification, the annual internal audits of multi-site organizations shall cover all sites within the organization's certified scope and demonstrate the continued effectiveness of corrective actions.

(6) 确认认证委托人管理体系认证范围、体系覆盖范围内有效人数和场所；Confirm the scope of certification for the management system of the certification client, the number of valid personnel and locations within the coverage of the system;

(7) 认证委托人的产品和服务符合质量/环境/职业健康安全等相关法律法规及强制性标准的情况。Verify the compliance of the client's products and services with relevant laws, regulations, and mandatory standards related to quality/environment/occupational health and safety.

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6.1.2.2 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 first stage audit may not be conducted on-site at the applicant organization, but the reasons for not conducting it on-site shall be recorded:

(1) 申请组织已获本深大认证颁发的其他有效认证证书，深大认证已对申请组织管理体系有充分了解
The applicant organization has obtained other valid certification certificates issued by the certification body, and the certification body has a full understanding of the management system of the applicant organization.

(2) 申请组织获得了其他经认可机构认可的认证机构颁发的有效的管理体系认证证书，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 a valid management system certification certificate issued by another certification body recognized by the accreditation body, and the purpose and requirements of the first stage audit can be met through the review of its documents and information.

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，如未进行一阶段现场应记录未在现场进行第一阶段审核的理由。
In addition to the above situations, the first stage audit should be conducted at the production, operation or service site of the audited party. If the first stage audit is not conducted on site, the reasons for not conducting the first stage audit on site should be recorded.

6.1.2.3 QMS、EMS、OHSMS、IMS\EIMS 第一阶段审核内容 the first stage audit of QMS, EMS, OHSMS, IMS\EIMS:

无论第一阶段审核活动是否在受审核方现场实施，审核组至少要审核以下内容
Regardless of whether the first stage audit activities are conducted on-site at the auditee, the audit team shall at least audit the following contents:

1) 受审核方的管理体系文件 The auditee's management system documents;

2) 结合受审核方现场情况，确认申请组织实际情况与管理体系文件描述的一致性，适用时，应关注体系文件中描述的产品或服务、部门设置和负责人、生产或服务过程控制、环境因素控制、危险源控制、诚信要素管理实现是否与申请组织的实际情况相一致
Based on the on-site situation of the auditee, confirm the consistency between the actual situation of the applicant organization and the description in the management system documents. When applicable, attention should be paid to whether the products or services, department settings and persons in

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charge, production or service process control, environmental factor control, hazard source control, and integrity factor management described in the system documents are consistent with the actual situation of the applicant organization;

3) 结合受审核方现场情况, 审核申请组织有关人员理解和实施对应运行的标准要求的情况, 评价管理体系运行过程中是否实施了内部审核与管理评审, 确认管理体系是否已有效运行并且超过 3 个月; 对管理体系文件不符合现场实际、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, 不应实施第二阶段审核或应在问题解决后再实施二阶段审核 In combination with the on-site situation of the audited party, review the compliance of the relevant personnel of the audit application organization with the understanding and implementation of the corresponding standard requirements, evaluate whether internal audits and management reviews have been implemented during the operation of the management system, and confirm whether the management system has been effectively operated for more than 3 months; if the management system documents do not conform to the actual situation on site, the relevant system has not been operated for more than 3 months or cannot be proved to have been operated for more than 3 months, the second stage audit should not be implemented or the second stage audit should be implemented after the problems are resolved;

4) 确认申请组织建立的管理体系覆盖的活动内容和范围; 对管理体系的关键过程、重要的因素、过程和运作的识别情况 Confirm the content and scope of activities covered by the management system established by the applicant organization; identify the key processes, important factors, processes and operations of the management system;

5) 确认申请组织的有效人数、活动过程和场所, 遵守相关法律法规及技术标准 (如受审核方运作中的质量、环境、法律因素, 相关的风险等) 的情况 Confirm the effective number of people, activity process and venue of the applicant organization, and its compliance with relevant laws, regulations and technical standards (such as quality, environment, legal factors in the operation of the audited party, related risks, etc.).

6) 结合管理体系覆盖活动的特点识别对体系目标的实现具有重要影响的关键点, 并结合其他

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因素，科学确定重要审核点；审核组长应在<管理体系审核策划表（初审一阶段）>的“二阶段审核建议”处注明二阶段的重要审核点 Based on the characteristics of the activities covered by the management system, identify the key points that have a significant impact on the realization of the system objectives, and based on other factors, scientifically determine the important audit points; the audit team leader should indicate the important audit points of the second stage in the "Second Stage Audit Recommendations " of the <Management System Audit Planning Form (Preliminary Review Stage 1)>。

7) 审核组应就以下事项与受审核方协商：确认第二阶段审核时间、审核方案，就审核安排达成共识；确认审核范围（包括实际位置、组织单元、受审的活动和过程、审核所覆盖的时期及多场所的确认）；为受审核方提供反馈信息和机会；与受审核方讨论确定第二阶段审核时间、路程安排等细节，所需资源的配置情况；关注审核企业工作的细节，以确保充分性。如：受审核方确切的工作时间、午餐时间、每个部门和班次的确切人数 The audit team should consult with the auditee on the following matters: confirm the time and audit plan for the second stage audit, and reach a consensus on the audit arrangement; confirm the scope of the audit (including actual location, organizational unit, audited activities and processes, audit coverage period and confirmation of multiple sites); provide feedback information and opportunities for the auditee; discuss with the auditee to determine the details of the second stage audit time, travel arrangements , and the allocation of required resources ; pay attention to the details of the audited enterprise's work to ensure adequacy. For example: the auditee's exact working hours, lunch time, and the exact number of people in each department and shift。

8) 对EMS、OHSMS审核，审核组还应至少获得如下信息For EMS and OHSMS audits, the audit team should also obtain at least the following information:

- 危险源及风险的识别及判断、环境因素及其相关的环境影响的识别以及重要环境因素的判定、能源因素的识别及影响判断 Identification and judgment of hazard sources and risks, identification of environmental factors and their related environmental impacts, determination of important environmental factors, identification of energy factors and judgment of their impacts;
- 实现持续改进的方式 How to achieve continuous improvement;
- 法律及法规及相关要求的识别情况 Identification of laws, regulations and related requirements
- 企业的营业执照或经营许可证及其他许可要求 Business license or operating permit and

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other licensing requirements of the enterprise;

- 组织在对法规要求符合性评价时所依据的记录（包括外部监测/检测报告、事故记录、违反法律、法规或规章的记录及与政府管理部门有关的交流的记录）Records relied upon by the organization in evaluating compliance with regulatory requirements (including external monitoring/testing reports, accident records, records of violations of laws, regulations or rules, and records of communications with government authorities);

- 与EMS/OHSMS相关的协商与交流信息的接收和回复记录Records of receiving and responding to consultation and communication information related to EMS/OHSMS;

- 完整的作业许可证、运行日志、维护记录及危险化学品安全技术说明书（MSDS）Complete operating permit, operation log, maintenance record and hazardous chemical safety data sheet (MSDS);

- 对重要环境因素、重大危险源、能源因素涉及的部门、活动、人员进行抽样检查，以排除第二阶段重大危险因素对审核带来的审核风险并提供第二阶段审核的重点Conduct random inspections on departments, activities, and personnel involved in important environmental factors, major hazardous sources, and energy factors to eliminate audit risks brought by major hazardous factors in the second phase and provide the focus of the second phase audit.

9) 对IMS、EIMS审核，审核组还应至少获得如下信息For IMS and EIMS audits, the audit team should also obtain at least the following information:

- 诚信要素是否系统全面地考虑了组织的核心业务活动过程和辅助性活动过程、产品或服务Whether the integrity factor systematically and comprehensively considers the organization's core business activities and supporting activities, products or services;

- 与诚信要素有关的强制性法律法规要求的识别情况Identification of mandatory legal and regulatory requirements related to integrity elements;

- 承诺兑现的监视和检查情况（包括但不限于诚信管理过程、广告宣传、售后服务、文化建设以及信贷、纳税、合同和对员工、环境、社会等的诚信承诺）及诚信风险管理，以排除第二阶段诚信要素对审核带来的风险并提供第二阶段审核的重点Monitoring and inspection of commitment fulfillment (including but not limited to integrity management process, advertising, after-sales service, culture construction, credit, taxation, contracts and integrity commitments to employees, environment, society, etc.) and integrity risk management to eliminate the risks brought by the integrity elements of the second stage to the audit and provide the focus of the

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second stage audit.

6.1.2.4 食品安全体系第一阶段审核内容 Contents of the first stage audit of the food safety system

1) 食品安全管理体系的第一阶段审核应该满足 CNAS-CC180:2023 《食品安全管理体系认证机构要求》对第一阶段审核的要求，通过审查组织的以下方面，了解组织对第二阶段的准备情况，策划第二阶段审核的关注点。第一阶段审核应审查但不限于以下方面的内容

The first stage audit of the food safety management system should meet the requirements of CNAS-CC180:2023 " Requirements for Food Safety Management System Certification Bodies " for the first stage audit . By reviewing the following aspects of the organization, we can understand the organization's preparation for the second stage and plan the focus of the second stage audit. The first stage audit should review but not be limited to the following aspects:

a) 认证委托人的前提方案与其业务活动的适宜性（例如：法律、法规、顾客和认证方案的要求） the suitability of the certification client' s prerequisite program to its business activities (e. g. legal, regulatory, customer and certification program requirements);

b) 建立的食品安全管理体系包括了识别和评估认证委托人的食品安全危害以及后续对控制措施（组合）选择和分类的过程和方法 The established food safety management system includes the process and methods for identifying and evaluating the food safety hazards of the certification client and the subsequent selection and classification of control measures (combinations);

c) 实施了食品安全相关的法律、法规 Implemented laws and regulations related to food safety;

d) 食品安全管理体系的设计是为了实现组织的食品安全方针 the food safety management system is designed to achieve the organization' s food safety policy;

e) 食品安全管理体系实施方案证实可以进行第二阶段的审核 The implementation plan of the food safety management system proves that the second stage audit can be carried out;

f) 控制措施的确认、活动的验证和改进的方案符合食品安全管理体系标准的要求 Confirmation of control measures, verification of activities and improvement plans meet the requirements of the food safety management system standard;

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g) 食品安全管理体系的文件和安排适合内部沟通与相关供应商、顾客、利益相关方的沟通
the documentation and arrangements of the food safety management system are suitable for internal communication and communication with relevant suppliers, customers and stakeholders;

h) 需要评审的其他文件和（或）需要提前获取的信息 Other documents that need to be reviewed and/or information that needs to be obtained in advance。

2) 当组织采用由外部开发的控制措施组合时，第一阶段审核应评审食品安全管理体系文件，确定控制措施组合是否适合该组织，是否满足 GB/T 22000-2006 的要求，并且保持并及时更新
When an organization adopts a combination of control measures developed externally, the first stage audit should review the food safety management system documents to determine whether the control measure combination is suitable for the organization, whether it meets the requirements of GB/T 22000-2006 , and whether it is maintained and updated in a timely manner;

3) 在收集遵守法规的信息时，应对相关资质证明的有效性进行检查 When collecting information for compliance with regulations, the validity of relevant qualification certificates should be checked。

4) 第一阶段审核应在认证委托人的现场实施。如果认证委托人已获得同一认证机构颁发的其他以 HACCP 原理为核心的食品安全相关管理体系有效认证证书，且认证机构已对认证委托人的过程和活动有充分了解，认证机构经过风险评估后，第一阶段审核可以不在认证委托人的现场进行，但应记录未在现场进行的原因，并能提供证据证明第一阶段审核的目标全部实现 The first stage audit should be conducted on-site at the certification client. If the certification client has obtained other valid food safety management system certification certificates issued by the same certification body with HACCP principles as the core, and the certification body has a full understanding of the certification client's processes and activities, the certification body may not conduct the first stage audit on-site at the certification client after risk assessment, but the reasons for not conducting the audit on-site should be recorded, and evidence should be provided to prove that all the objectives of the first stage audit have been achieved。

5) 应告知认证委托人第一阶段审核的结果可能导致推迟或取消第二阶段审核 The certification client should be informed that the results of the first stage audit may lead to the

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postponement or cancellation of the second stage audit.

6) 对于第一阶段审核过的食品安全管理体系的相应部分，被确定为实施充分、有效并符合要求的，第二阶段可以不再对其审核。然而，深大认证将确保食品安全管理体系已审核的部分持续符合认证要求。在这种情况下，审核报告应包含第一阶段审核中的审核发现，并且应清楚地表述第一阶段审核已经确立的符合性 For the corresponding parts of the food safety management system that have been audited in the first stage, if they are determined to be fully implemented, effective and in compliance with the requirements, they may not be audited in the second stage. However, the certification body shall ensure that the audited parts of the food safety management system continue to meet the certification requirements. In this case, the audit report shall include the audit findings in the first stage audit and shall clearly state the compliance that has been established in the first stage audit.

7) 第一阶段审核提出的影响实施第二阶段审核的问题应在第二阶段审核前得到解决。第一阶段审核和第二阶段审核的时间间隔不应超过 6 个月。如果需要更长的时间间隔，应重新实施第一阶段 Issues raised in the first stage audit that affect the implementation of the second stage audit should be resolved before the second stage audit. The time interval between the first stage audit and the second stage audit should not exceed 6 months. If a longer time interval is required, the first stage should be re-implemented.

6.1.2.5 危害分析与关键控制点（HACCP）体系第一阶段审核应关注的内容 The first phase of the Hazard Analysis and Critical Control Point (HACCP) system audit should focus on:

(1) 收集关于受审核方的 HACCP 体系范围、过程和场所的必要信息，以及相关的法律、法规、标准要求和遵守情况 Collect necessary information about the auditee's HACCP system scope, processes and sites, as well as relevant laws, regulations, standards and compliance;

(2) 充分识别委托加工等生产活动对食品安全的影响程度 Fully identify the impact of production activities such as outsourced processing on food safety;

(3) 初步评价受审核方厂区环境、厂房及设施、设备、人员、卫生管理等是否符合相对应良好生产规范（GMP）的要求 Preliminary evaluation of whether the audited party's factory environment, factory buildings and facilities, equipment, personnel, and hygiene management meet the requirements of the corresponding Good Manufacturing Practice (GMP);

(4) 了解受审核方对认证标准要求的理解，评审受审核方的 HACCP 体系文件。重点评审受

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审核方体系文件的符合性、适宜性和充分性，特别关注关键控制点、关键限值的确定及其支持性证据 Understand the auditee's understanding of the certification standard requirements and review the auditee's HACCP system documents. Focus on the conformity, suitability and adequacy of the auditee's system documents, with special attention to the determination of critical control points and critical limits and their supporting evidence.

(5) 充分了解受审核方的 HACCP 体系和现场运作，评价受审核方的运作场所和现场的具体情况 & 体系的实施程度，确认受审核方是否已为第二阶段审核做好准备，并与受审核方商定第二阶段审核的细节，明确审核范围，为策划第二阶段审核提供关注点 Fully understand the HACCP system and on-site operations of the auditee, evaluate the specific conditions of the auditee's operating site and the implementation level of the system, confirm whether the auditee is ready for the second stage audit, and agree with the auditee on the details of the second stage audit, clarify the scope of the audit, and provide focus for planning the second stage audit.

应告知受审核方第一阶段的审核结果可能导致推迟或取消第二阶段审核 The auditee should be informed that the results of the first stage audit may lead to the postponement or cancellation of the second stage audit.

6.1.2.6 能源管理体系第一阶段审核应该关注的内容 What should be paid attention to in the first stage audit of the energy management system

(1) 确认拟认证能源管理体系的范围和边界 Confirm the scope and boundaries of the energy management system to be certified

(2) 对已识别的范围和边界，评审组织设施、设备、系统和过程的图表或文字说明 Review diagrams or written descriptions of the organization's facilities, equipment, systems, and processes for the identified scope and boundaries;

(3) 确认能源管理体系有效人员的数量、能源种类、主要能源使用和年度综合能耗，以确定审核时间 Confirm the number of effective personnel in the energy management system, energy types, main energy use and annual comprehensive energy consumption to determine the audit time;

(4) 评审能源策划过程形成的文件化结果 Review the documented results of the energy planning process;

(5) 评审经识别的能源绩效改进机会的清单，以及相关的目标、指标以及实施方案 Review

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the list of identified energy performance improvement opportunities, along with associated goals, targets, and implementation plans。

6.1.2.7 ISMS 第一阶段审核应该关注的内容 What should be paid attention to in the first stage of ISMS audit

1) 应获取有关 ISMS 设计的文件，其中包括 ISO/IEC 27001 所要求的文件 Documentation on ISMS design should be obtained, including documents required by ISO/IEC 27001

2) 应充分了解在组织环境下所进行的 ISMS 设计、风险评估和处置（包括所 确定的控制）、信息安全方针和目标，以及特别是客户的审核准备情况 There should be a full understanding of the ISMS design, risk assessment and treatment (including the controls identified), information security policy and objectives, and especially the client's audit readiness in the context of the organization。

6.1.2.8 ITSMS 第一阶段审核应该获得有关 ITSMS 设计的文件，相文件包括 The first stage of ITSMS audit should obtain relevant ITSMS design documents, including:

1) 文件化的服务管理政策和目标 Documented service management policies and objectives

2) 文件化的服务管理计划 Documented service management plan;

3) 本标准所要求的各流程文件化的策略和计划 Documented strategies and plans for each process required by this standard;

4) 文件化的服务目录 Documented service catalogue;

5) 文件化的 SLA Documented SLA;

6) 文件化的服务管理流程 Documented service management process;

7) ISO/IEC 20000-1 所要求的的文件化程序和记录 Documented procedures and records required by ISO/IEC 20000-1;

8) 服务提供者认为为确保 SMS 有效运行和服务交付所需要的其他文件（包括外来文件）。

以实现结合客户的 ITSMS 方针和目标，尤其是其所声称的审核准备情况，了解客户的 ITSMS，为二阶段审核提供关注点的审核目的 Other documents (including external documents) that the service provider considers necessary to ensure the effective operation of the SMS and service delivery. This is to achieve the audit purpose of combining the client's ITSMS policy and objectives, especially its stated audit readiness, understanding the client's ITSMS, and

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providing focus for the second stage audit。

一阶段审核包括但不限于文件评审。深大认证应与客户就实施文件评审的时间和地点达成一致。在任何情况下，文件评审应在二阶段审核前完成

The first stage audit includes, but is not limited to, a document review. The certification body shall agree with the client on the time and place for the document review. In any case, the document review shall be completed before the second stage audit.

一阶段审核的结果应记录在书面报告中。深大认证应评审一阶段审核报告，以决定是否实施二阶段审核并选择具备必要能力的二阶段审核组成员

The results of the first stage audit shall be recorded in a written report. The certification body shall review the first stage audit report to decide whether to conduct a second stage audit and select second stage audit team members with the necessary capabilities.

深大认证应使得客户知晓在二阶段审核中可能要对更进一步的信息或文件进行详细检查

The certification body shall make the client aware that further information or documents may be subject to detailed examination during the stage 2 audit.

6.1.2.9 第一阶段审核结束后，审核组应对收集的信息和证据进行分析，以形成审核发现，审核组应将第一阶段审核发现的问题以《第一阶段问题点报告》的形式提交受审核方，并得到受审核方的确认。对在第二阶段审核中可能判定为不符合项的重要关键点，提醒受审核方特别予以关注。若第一阶段审核的结果出现严重不符合或一阶段目的无法实现，导致无法开展第二阶段审核时，应通知受审核方可重新进行一阶段审核

After the first stage audit, the audit team shall analyze the collected information and evidence to form the audit findings. The audit team shall submit the problems found in the first stage audit to the auditee in the form of "First Stage Problem Point Report" and obtain the auditee's confirmation. The auditee shall be reminded to pay special attention to the important key points that may be judged as non-conformities in the second stage audit. If the results of the first stage audit show serious non-conformities or the purpose of the first stage cannot be achieved, resulting in the inability to conduct the second stage audit, the auditee shall be notified that the first stage audit can be repeated.。

6.1.2.10 一阶段审核报告 Phase I audit report:

1) 管理体系文件与认证标准要求的符合性；受审核方实际情况与管理体系文件描述的一致性

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（特别是体系文件中描述的产品或服务、部门设置和负责人、生产或服务过程等是否与申请组织的实际情况相一致）

Conformity between the management system documents and the certification standards; consistency between the actual situation of the audited party and the description of the management system documents (especially whether the products or services, department settings and persons in charge, production or service processes described in the system documents are consistent with the actual situation of the applicant organization);

2) 管理/诚信方针与目标的适宜性 Suitability of management/integrity policies and objectives。

3) 适用法律法规和及技术标准识别的充分性及遵守情况 Identification of the adequacy of and compliance with applicable laws, regulations and technical standards。

4) 相关人员理解和实施认证标准要求的的情况；管理体系运行过程中是否实施了内部审核与管理评审；管理体系是否已有效运行并且超过 3 个月（特殊要求时限按照特殊要求实行）的情况

The understanding and implementation of the certification standard requirements by relevant personnel; whether internal audits and management reviews have been implemented during the operation of the management system; whether the management system has been effectively operated for more than 3 months (special requirements shall be implemented in accordance with special requirements);

5) 过程识别及控制措施的充分性（Q）；环境因素识别的充分性，重要环境因素判定的合理性及控制措施的充分性（E）；危险源辨识的充分性，风险评价结果的合理性（S）及控制措施的充分性；危害分析及控制措施（前提方案）制订、使用的 HACCP 方法的充分性、合理性、准确性、HACCP 小组的评定意见（F）；诚信要素识别及风险管理的充分性和合理性（IMS/EIMS）
 Adequacy of process identification and control measures (Q) ; Adequacy of environmental factor identification, rationality of important environmental factor determination and adequacy of control measures (E); Adequacy of hazard identification, rationality of risk assessment results (S) and adequacy of control measures; Adequacy, rationality, accuracy of HACCP methods

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used in the formulation and use of hazard analysis and control measures (prerequisite programs), and evaluation opinions of the HACCP team (F); Adequacy and rationality of integrity factor identification and risk management (IMS/EIMS);

6) 适用时，管理体系的一体化程度 Where applicable, the degree of integration of the management system

6.1.2.11 一阶段审核结论 Conclusion of the first stage audit:

1) 问题点不影响体系的正常运作，可进入第二阶段审核 If the problem does not affect the normal operation of the system, the second stage of review can be entered;

2) 对问题点，待受审核方采取纠正措施并跟踪审核确认后方可进入第二阶段审核 For problem points, the auditee can enter the second stage audit only after taking corrective measures and confirming the follow-up audit;

3) 存在违反法律、法规要求、监测不达标现象，不具备第二阶段审核条件 There are violations of laws and regulations and monitoring does not meet standards, and the conditions for the second stage review are not met.

4) 深大认证将认证委托人是否具备第二阶段审核条件的结论书面告知认证委托人，包括所识别的需引起关注的、在第二阶段可能被判定为不符合的问题。the certification body shall inform the certification client in writing of the conclusion on whether it meets the conditions for Stage 2 audit, including identified concerns and issues that may be judged as nonconformities at Stage 2.

6.1.2.12 对一阶段问题的纠正时间不得超过6个月，否则需重新实施第一阶段审核 The time for correcting issues in the first phase shall not exceed 6 months, otherwise the first phase audit must be implemented again.

6.1.3 第二阶段现场审核 Second stage on-site audit

通常情况下，第二阶段审核应在组织的现场进行，目的是评价认证委托人管理体系的实施情况，包括对 GB/T 19001/ISO 9001、GB/T 24001/ISO 14001、GB/T 45001/ISO 45001、GB/T 22080/ISO/IEC 27001、ISO/IEC 20000—1、GB/T 23331/ISO 50001 及相应标准要求的符合性和体系的有效性。评价受审核方管理体系的实施的有效性并确定是否推荐其管理体系认证注册。审

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核组应当全员完成审核计划的全部工作。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（技术专家和实习审核员除外）。Normally, the second stage audit should be conducted on-site by the organization to evaluate the implementation of the certification client's management system, including compliance with GB/T 19001/ISO 9001、GB/T 24001/ISO 14001、GB/T 45001/ISO 45001、GB/T 22080/ISO/IEC 27001、ISO/IEC 20000—1、GB/T 23331/ISO 50001 and corresponding standard requirements and the effectiveness of the system. Evaluate the effectiveness of the implementation of the auditee's management system and determine whether to recommend its management system certification registration. The audit team should have all members complete all tasks of the audit plan. Except for unforeseeable special circumstances, the auditors determined in the audit plan shall not be replaced during the audit process (except for technical experts and intern auditors)

第一阶段审核结束后，审核组长需把审核结果及与认证组织商定的二阶段审核细节报告给审核方案管理人员，审核方案管理人员根据第一阶段审核结果策划第二阶段审核组成员，并下达第二阶段审核任务

After the completion of the first phase audit, the audit team leader needs to report the audit results and the details of the second phase audit agreed with the certification organization to the audit program manager . The audit program manager plans the members of the second phase audit team based on the results of the first phase audit and issues the second phase audit tasks.

特殊情况下（如因疫情防控原因不宜进行现场审核等），机构可使用远程技术，对第二阶段全部或部分内容实施远程审核。远程技术的使用应符合 CNAS 及认监委相关要求，并按照机构制定的方案实施

Under special circumstances (such as when on-site audits are not appropriate due to epidemic prevention and control), institutions may use remote technology to conduct remote audits of all or part of the second phase. The use of remote technology should comply with the relevant requirements of CNAS and the Certification and Accreditation Administration, and be implemented in accordance with the plan formulated by the institution.

6.1.3.1 审核计划Audit plan

审核组长接到《审核任务通知书》后，应结合审核组及受审核方情况编制《审核计划》。审

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核计划至少包括以下内容：审核目的，审核准则，审核范围，审核的日期和场所，审核持续时间，审核组成员及分组代码（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）

After receiving the Audit Task Notice, the audit team leader shall prepare an Audit Plan in combination with the audit team and the auditee. The audit plan shall at least include the following contents: audit purpose, audit criteria, audit scope, audit date and location, audit duration, audit team members and group code (among which: auditors shall indicate the certification personnel registration number; technical experts shall indicate the professional code, work unit and professional technical title)。

如果管理体系包含在多个场所进行相同或相近的活动，且这些场所都处于该申请组织授权和控制下，可以在审核中对这些场所进行抽样，但应制定合理的抽样方案以确保对各场所管理体系进行充分的审核，同时满足以下条件：

Where a management system covers identical or similar activities conducted at multiple sites, all of which are under the authorization and control of the applicant organization, sampling of such sites may be applied during the audit. A reasonable sampling plan shall be established to ensure adequate audit of the management system at each site, and the following conditions shall also be satisfied:

- a) 在抽样场所审核之前，至少每年应对食品安全管理体系的中心职能进行一次审核；
- b) 至少每年应对规定数量的抽样场所进行审核；
- c) 应对抽样场所的审核发现进行评估，以确定这些结果是否表明食品安全管理体系存在系统不足，因此可能适用于某些或所有其他场所；
- d) 应将抽样场所的审核发现视为整个食品安全管理体系的情况，并应实施相应的纠正措施；
- e) 对于 20 个和不足 20 个场所的组织，所有场所都应进行审核。

当接受认证的食品管理体系无法表明有能力达到预期结果时，应增加抽样量或终止场所抽样。

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a) The central functions of the food safety management system shall be audited at least once every year prior to the audit of sampled sites;

b) A specified number of sampled sites shall be audited at least annually;

c) Audit findings from sampled sites shall be evaluated to determine whether such results indicate systemic weaknesses within the food safety management system that may therefore be applicable to some or all other sites;

d) Audit findings from sampled sites shall be regarded as representative of the overall food safety management system, and corresponding corrective actions shall be implemented;

e) For organizations with 20 sites or fewer, all sites shall be audited.

Where the certified food safety management system fails to demonstrate its ability to achieve intended results, the sampling scale shall be increased or site sampling shall be terminated.

如果不同场所的活动存在根本不同、或不同场所存在可能对管理产生显著影响的区域性因素、或管理体系标准要求对存在差异的地方性因素进行审核，则不能采用抽样审核的方法，应当逐一到各现场进行审核。对食品安全管理体系，当受审核方将影响食品安全的重要生产过程采用委托加工等方式进行时，除非被委托加工组织的被委托加工活动已获得相应的危害分析与关键控制点（HACCP）体系或食品安全管理体系认证，否则应对委托加工过程实施现场审核。具体执行《多场所认证注册规定》的规定。初次认证审核时产品 / 服务实现现场至少应覆盖申请认证范围内的所有产品 / 服务小类（HACCP 适用）。

Where activities at different sites are fundamentally different, or where regional factors at different sites may have a significant impact on management, or where management system standards require the audit of differentiated local factors, the sampling audit approach shall not be adopted, and each site shall be audited individually. For food safety management systems, if the auditee outsources important food safety-related production processes by way of entrusted processing, on-site audit of the entrusted processing processes shall be conducted unless the entrusted processing organization has obtained the corresponding Hazard Analysis and Critical Control Point (HACCP) system or Food Safety Management System certification for its

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entrusted processing activities. The implementation shall be carried out in accordance with the provisions of the Provisions on Multi-site Certification and Registration.

At the time of initial certification audit, the product/service realization sites shall cover at least all subcategories of products/services within the scope of the applied certification (applicable to HACCP).

审核组长在制定审核计划时，应注意以下情况 When developing an audit plan, the audit team leader should pay attention to the following:

- 1) 按照 8H/人天的要求安排各审核员工作，不得出现某一审核员工作时间不连续的情况；审核计划应根据审核内容的多少合理分配审核时间 The work of each auditor shall be arranged according to the requirement of 8 hours/person-day. There shall not be a situation where a certain auditor has discontinuous working hours. The audit plan shall reasonably allocate the audit time according to the amount of audit content 。
- 2) 涉及产品/服务活动实现过程内容的条款或重大环境/危险源涉及关键场所（部门），应安排专业审核员进行审核 Clauses involving the content of the product/service activity realization process or major environments/hazard sources involving key locations (departments) should be audited by professional auditors;
- 3) 实习审核员、专家不应安排单独审核 Trainee auditors and experts should not be arranged to conduct separate audits;
- 4) 不具备领域资质的审核员不审核该领域 Auditors who do not have the qualifications in a field will not audit that field;;
- 5) 多场所时，应注明所有审核场所，并明确往返不同场所的路途时间 When there are multiple locations, all audit locations should be indicated , **and the travel time to and from different locations should be clearly stated.**

审核组长应在实施审核开始前将审核计划交受审核方确认并通知审核组成员，审核组应按照审核计划实施审核，并采用中文记录审核过程，可补充使用图片/音像作为记录。如审核组成员对审核计划有疑议，应向审核组长反馈，审核组长宜根据审核员反馈情况，协调或调整审核计划。如审核组成员未能就审核计划安排与审核组长达成一致意见，应以审核组长意见为准。遇特殊情

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况需临时变更计划时，审核组长应及时将变更情况通知受审核方，并协调一致。

The audit team leader should submit the audit plan to the auditee for confirmation and notify the audit team members before the start of the audit. The audit team should implement the audit according to the audit plan and record the audit process in Chinese, supplemented by pictures/audio as records. If members of the audit team have doubts about the audit plan, they should provide feedback to the audit team leader. The audit team leader should coordinate or adjust the audit plan based on the feedback from the auditors. If the members of the audit team fail to reach a consensus with the audit team leader on the audit plan arrangement, the opinion of the audit team leader shall prevail. When there are special circumstances that require temporary changes to the plan, the audit team leader should promptly notify the auditee of the changes and coordinate with them

审核组长应在审核开始前，向审核组成员布置审核任务，并分发必要的资料。必要时，专业审核员或技术专家在审核前应确定受审核方的专业特点和关键过程活动，并向审核组中非相应专业项目审核员进行专业培训或引导。

The audit team leader shall assign audit tasks to the audit team members and distribute necessary materials before the audit begins. If necessary, professional auditors or technical experts shall determine the professional characteristics and key process activities of the auditee before the audit, and provide professional training or guidance to non-corresponding professional project auditors in the audit team.

6.1.3.2 实施审核Implementation audit

第二阶段审核时，审核组至少应检查组织管理体系的以下方面，并审核足够数量的与组织管理体系和活动相关的样本，以获得对管理体系实施情况（包括有效性）的可靠评价 During the second stage audit, the audit team shall examine at least the following aspects of the organization's management system and audit a sufficient number of samples related to the organization's management system and activities to obtain a reliable evaluation of the implementation of the management system (including effectiveness):

a) 与适用的管理体系标准或其他规范性文件的所有要求的符合情况及证据 conformity and evidence of all requirements of applicable management system standards or other normative documents;

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b) 根据关键绩效目标和指标（与适用的管理体系标准或其它规范性文件的期望一致），绩效监视、测量、报告和评审的情况；组织实现质量目标具有重要影响的关键点的控制情况 performance monitoring, measurement, reporting and review against key performance objectives and indicators (consistent with the expectations of the applicable management system standard or other normative document); and control of key points that have a significant impact on the organization's achievement of quality objectives;

c) 受审核方管理体系和绩效中与遵守法律有关的方面 aspects of the auditee's management system and performance related to compliance with laws and regulations;

d) 受审核方过程的运作控制有效性；（审核组必须记录审核期间现场有无生产及收集生产过程控制情况/环境因素的控制情况/职业健康安全风险的控制情况的证据。在审核 QMS/EMS/OHSMS 的目标时，应收集与目标相关的运行控制的审核证据；审核 EMS 时，应关注危废的产生量、库存量、转移量之间的平衡核算，并记录相关的证据；也要收集设计中对产品生命周期涉及的环境因素和控制的予以识别和考虑的相关证据；当产品本身属于环保设施，审核组应收集在产品的设计过程、产品自身的功能和性能等在环保方面的合规要求、控制结果等的审核证据。当审核 OHSMS 时，审核组应收集企业对承包方和外包方实施控制或施加影响的审核证据。在审核 EMS/OHSMS 时也需关注生产设备运行维护的有效性以及对环境及职业健康安全的影响。审核 EMS 的 6.1.2 和 8.1 条款时需依据生产工艺过程、环评报告书/表、环评批复对照审核，避免遗漏重要的环境因素及对应的环境影响、环境监测报告等内容的审核）

The effectiveness of the operational control of the auditee's processes; (The audit team must record whether there is production on site during the audit and collect evidence of the control of production processes/environmental factors/occupational health and safety risks. When auditing the objectives of QMS/EMS/OHSMS, audit evidence of operational control related to the objectives should be collected; when auditing EMS, attention should be paid to the balance between the amount of hazardous waste generated, the amount of inventory, and the amount of transfer, and relevant evidence should be recorded; relevant evidence should also be collected on the identification and consideration of environmental factors and controls involved in the product life cycle in the design; when the product itself is an environmental protection facility, the audit team should collect Audit evidence of environmental compliance requirements, control results, etc. of processes, functions and performance of the products themselves. When auditing

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OHSMS, the audit team should collect audit evidence of the company's control or influence over contractors and outsourcers. When auditing EMS/OHSMS, attention should also be paid to the effectiveness of production equipment operation and maintenance and its impact on the environment and occupational health and safety. When auditing clauses 6.1.2 and 8.1 of EMS, it is necessary to conduct a comparative audit based on the production process, environmental impact assessment report/form, and environmental impact assessment approval to avoid missing important environmental factors and the corresponding environmental impacts, environmental monitoring reports, etc.)

e) 内部审核和管理评审 internal audit and management review;

f) 受审核方的管理职责 the management responsibilities of the auditee;

g) 规范性要求、方针、绩效目标和指标（与适用的管理体系标准或其它规范性文件的期望一致）、适用的法律要求、职责、人员能力、运作、程序、绩效数据和内审发现及结论之间的联系 the links between regulatory requirements, policies, performance objectives and targets (consistent with the expectations of the applicable management system standard or other regulatory documents), applicable legal requirements, responsibilities, personnel competence, operations, procedures, performance data and internal audit findings and conclusions

FSMS 食品安全管理体系第二阶段审核应至少覆盖以下方面 the FSMS food safety management system should at least cover the following aspects:

(1) 与食品安全管理体系标准或其他规范性文件的所有要求的符合情况及证据 Conformity and evidence with all requirements of food safety management system standards or other normative documents;

(2) 依据食品安全管理体系关键绩效目标和指标，对绩效进行的监视、测量、报告和评审 Monitoring, measuring, reporting and reviewing performance based on the key performance objectives and indicators of the food safety management system;

(3) 认证委托人食品安全管理体系的能力以及在符合适用法律法规要求和合同要求方面的绩效 The capabilities of the certification client's food safety management system and its performance in complying with applicable legal and regulatory requirements and contractual

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requirements;

(4) 认证委托人过程的运作控制 Operational control of the certification client process;

(5) 内部审核和管理评审 Internal audit and management review;

(6) 针对认证委托人方针的管理职责 Management responsibilities for the certification client's policies。

(7) 产品安全性验证 Product safety verification

(8) 审核策划应具有选择审核时机和季节的过程，以使审核组有机会针对认证范围内认证委托人有代表性数量的生产线和（或）服务的运行情况进行审核。Audit planning shall include a process for selecting audit timing and seasons, so as to enable the audit team to audit the operational status of a representative number of production lines and/or services of the certification client within the scope of certification.

为验证危害分析的输入持续更新、危害水平在确定的可接受水平之内、操作性前提方案计划和 HACCP 计划得以实施且有效，特别是产品的安全状况等情况，适用时，在现场审核或相关过程中需要对认证范围内覆盖的产品进行抽样验证，以验证产品的安全性。

In order to verify that the inputs to the hazard analysis are continuously updated, that the hazard levels are within the determined acceptable levels, that the operational prerequisite programs and the HACCP plan are implemented and effective, and especially the safety status of the products, when applicable, sampling verification of products covered by the certification scope is required during on-site audits or related processes to verify the safety of the products。

深大认证根据有关指南、标准、规范或相关要求策划安全性验证活动。安全性验证可采用以下三种方式：

the certification body shall plan safety verification activities in accordance with relevant guidelines, standards, specifications or applicable requirements. Safety verification may adopt the following three methods:

(1) 委托具备相应资质能力的检测机构完成；或 Entrust a testing agency with relevant qualifications and capabilities to complete the task; or

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(2) 由现场审核人员进行风险评估，现场见证认证委托人实施的产品安全性检验；或 On-site auditors conduct risk assessments and witness product safety inspections conducted by the certification client; or

(3) 由现场审核人员确认并收集 12 个月内由具备资质的第三方检验检测机构出具的检验报告。当认证机构认为检验项目不足以验证产品的安全性时，应采取相应的处理措施 The on-site auditors shall confirm and collect the inspection reports issued by qualified third-party inspection and testing institutions within 12 months. When the certification body considers that the inspection items are not sufficient to verify the safety of the product, it shall take appropriate measures。

诚信管理体系第二阶段审核除以上的有关要求外还要进行 In addition to the above requirements, the second stage of the integrity management system audit also includes:

1) 诚信要素管理实现情况验证，包括但不限于人力资源管理、外部诚信环境变化影响因素分析、需求或期望的分析、识别和确定、社会责任履行、信息交流与控制、诚信风险管理、诚信文化建设 Verification of the implementation of integrity factor management, including but not limited to human resource management, analysis of factors affecting changes in the external integrity environment, analysis, identification and determination of needs or expectations, fulfillment of social responsibilities, information exchange and control, integrity risk management, and integrity culture building。

2) 承诺兑现的监视和检查情况验证，包括但不限于诚信管理过程、广告宣传、售后服务、文化建设以及信贷、纳税、合同和对员工、环境、社会等的诚信承诺 Monitoring and verification of commitment fulfillment , including but not limited to integrity management processes, advertising, after-sales service, cultural construction, as well as credit, taxation, contracts, and integrity commitments to employees, the environment, and society。

3) 失信评估和处理情况验证 Verification of dishonesty assessment and handling;

HACCP 体系第二阶段审核除以上的有关要求外还要重点关注以下方面 In addition to the

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above requirements, the second stage of the HACCP system audit should also focus on the following aspects:

(1) 与我国和进口国（地区）适用法律、法规及标准的符合性，以及出口食品生产企业安全卫生要求的符合性（适用时） Compliance with applicable laws, regulations and standards of my country and the importing country (region), as well as compliance with safety and sanitation requirements of export food production enterprises (where applicable)。

(2) HACCP 体系实施的有效性, 包括 HACCP 计划、前提计划及防护计划的实施，对产品安全危害的控制能力 The effectiveness of the implementation of the HACCP system, including the implementation of the HACCP plan, prerequisite plan and protection plan, and the ability to control product safety hazards;

(3) 原辅料及与食品接触材料的食品安全危害识别的充分性和控制的有效性 The adequacy of the identification of food safety hazards of raw materials, auxiliary materials and food contact materials and the effectiveness of their control;

(4) 生产加工过程中的卫生标准操作程序（SSOP）执行的有效性 The effectiveness of the implementation of the sanitation standard operating procedures (SSOPs) during the production and processing;

(5) 生产过程中对食品安全危害控制的有效性 The effectiveness of controlling food safety hazards during the production process;

(6) 产品可追溯性体系的建立及不合格产品的控制 Establishment of product traceability system and control of non-conforming products;

(7) 食品安全验证活动安排的有效性及食品安全状况 The effectiveness of arrangements for food safety verification activities and food safety status;

(8) 受审核方对投诉的处理 The audited party's handling of complaints.

(9) 与认证依据文件中所有要求的符合性; Conformity with all requirements specified in the certification normative documents.

(10) 管理职责的履行、食品安全方针的贯彻、目标的达成; Performance of management

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responsibilities, implementation of the food safety policy, and achievement of objectives.

(11) HACCP 体系范围内对应产品的良好生产 / 卫生规范要求的符合性; Conformity with the requirements of Good Manufacturing Practice/Good Hygiene Practice for the corresponding products within the scope of the HACCP system.

(12) 内部审核和管理评审。Internal audit and management review.

对于第一阶段审核过的 HACCP 体系的相应部分, 被确定为实施充分有效并符合要求的, 第二阶段可以不再对其审核, 但深大认证将确保 HACCP 体系已审核的部分持续符合认证要求。第二阶段的审核报告应包含第一阶段审核中的审核发现, 并且应清楚地表述第一阶段审核已经确立的符合性。审核记录应能体现审核人员对 HACCP 计划中 HACCP 技术参数的判断。审核产品 / 服务实现过程现场的时间应不低于总现场审核时间的 50%。

For the corresponding parts of the HACCP system that have been audited in the first stage and are determined to be fully effective and meet the requirements, they may not be audited in the second stage, but the certification body should ensure that the audited parts of the HACCP system continue to meet the certification requirements. The audit report of the second stage should include the audit findings in the first stage audit and should clearly state the compliance that has been established in the first stage audit. The audit record should reflect the auditor's judgment on the HACCP technical parameters in the HACCP plan. The on-site audit time for product or service realization processes shall not be less than 50% of the total on-site audit time.

EnMS 第二阶段审核应关注能源管理体系标准所有要求的实施情况, (除了那些在第一阶段审核中已经进行了充分而成功的审核的要求), 尤其要把重点放在客户的 The EnMS Stage 2 audit should focus on the implementation of all requirements of the energy management system standard (in addition to those that have been fully and successfully audited in the Stage 1 audit), with particular emphasis on the client's:

a) 对能源使用的识别和随后对主要能源使用的判定 Identification of energy use and

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subsequent determination of major energy use; b) 确保符合法律、法规及其他要求 Ensuring compliance with laws, regulations and other requirements; c) 经评审而制定的绩效参数、能源目标、能源指标、能源管理实施方案 Performance parameters, energy goals, energy indicators and energy management implementation plans developed after review; d) 运行控制与维护 Operational control and maintenance; e) 对照能源目标、指标、绩效参数而实施的测量、分析、报告和评价 Measurement, analysis, reporting and evaluation against energy goals, indicators and performance parameters; f) 不符合的识别与评价, 纠正措施和预防措施完成情况 Identification and evaluation of non-conformities, and completion of corrective and preventive actions; g) 内部审核和管理评审; h) 能源方针和管理职责 Internal audits and management reviews;

适用时, 深大认证将在第二阶段审核时增加抽样频次及抽样量, 直到其对组织能源绩效改进的证实得到满意

Where applicable, the certification body shall increase the frequency and volume of sampling during the Stage 2 audit until it is satisfied that improvements in the organization's energy performance have been demonstrated.

ISMS 第二阶段审核除以上的有关要求外还应重点关注客户

In addition to the above requirements, the second stage of ISMS audit should also focus on customers:

a) 最高管理者的领导力和对信息安全方针与信息安全目标的承诺 Top management's leadership and commitment to the information security policy and information security objectives;

b) ISO/IEC 27001 中所列的文件要求 Documentation requirements as outlined in ISO/IEC 27001;

c) 评估与信息安全有关的风险, 以及评估可产生一致的、有效的、在重复评估时可 比较的结果 Assess risks related to information security and ensure that the assessment produces consistent, valid results that are comparable when the assessment is repeated;

d) 基于风险评估和风险处置过程, 确定控制目标和控制 Determine control objectives and

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controls based on risk assessment and risk treatment processes;

e) 信息安全绩效和 ISMS 有效性, 以及根据信息安全目标对其进行评审 Information security performance and ISMS effectiveness, and reviewing them against information security objectives;

f) 所确定的控制、适用性声明、风险评估与风险处置过程的结果、信息安全方针与目标, 它们相互之间的一致性

The consistency between the identified controls, the statement of applicability, the results of the risk assessment and risk treatment process, and the information security policy and objectives;

g) 控制的实施, 考虑了外部环境、内部环境与相关的风险, 以及组织对信息安全过程和控制

the implementation of controls, taking into account the external environment, the internal environment and associated risks, and the organization's monitoring, measurement and analysis of information security processes and controls to determine whether the controls are implemented, effective and achieving their stated objectives;

h) 方案、过程、规程、记录、内部审核和对 ISMS 有效性的评审, 以确保其可被追溯至管理决定和信息安全方针与目标 programmes, processes, procedures, records, internal audits and reviews of the effectiveness of the ISMS to ensure they are traceable to management decisions and the information security policy and objectives.

ITSMS 第二阶段审核应该关注的内容 What should be paid attention to in the second phase of ITSMS audit

1) 一阶段审核获得的文件的要求 Requirements for documents obtained during the first stage audit

2) 对实施、监视、测量和评审服务管理目标计划和过程的有效控制 Effective control over the implementation, monitoring, measurement and review of service management objectives, plans and processes

3) ITSMS 内部审核和管理评审 ITSMS internal audit and management review

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4) 方针的管理责任 Management responsibility for the policy

第一阶段和第二阶段审核的间隔应不超过 6 个月。如果超过 6 个月，应重新实施第一阶段审核
 The interval between the first and second stage audits should not exceed 6 months. If it exceeds 6 months, the first stage audit should be repeated.

6.1.3.3 审核过程 Audit process

a) 首次会议 First meeting

参加人员 Participants: 认证委托人的最高管理者、管理体系相关职能部门负责人（如负有OHS法律责任的管理者，负责监视员工健康的人员、负责OHS的员工代表）应参加首次会议，我司应保留首次会议签到记录、图片/音像证明材料。认证委托人的最高管理者不能参加首次会议的，应由获得书面授权的其他高级管理层成员参会，审核组应记录最高管理者缺席理由。The top management of the certification client and the heads of relevant functional departments of the management system (such as managers with legal responsibility for OHS, personnel responsible for monitoring employee health, and employee representatives responsible for OHS) should attend the first meeting, and our company should keep the attendance record and photographic/audiovisual proof materials of the first meeting. If the top management of the certification client is unable to attend the first meeting, other senior management members authorized in writing should attend, and the audit team should record the reasons for the absence of the top management.

会议由审核组长主持，会议的内容是The meeting was chaired by the audit team leader and the content of the meeting was:

- 互相介绍人员及职责Introduce each other's personnel and responsibilities;
- 确认审核目的、范围和准则；确认审核计划Confirm the audit objectives, scope and criteria; confirm the audit plan;
- 简要介绍审核所采用的方式和程序Briefly describe the audit approach and procedures adopted;
- 建立双方的正式联系渠道Establish formal communication channels between the two parties;
- 落实审核组需要的基本工作条件Implement the basic working conditions required by the

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audit team;

- 澄清可能存在的问题，并确定末次会议的日期和时间Clarify any issues that may exist and determine the date and time for the closing meeting;
- 承诺有关保密事宜Commitment to keep confidentiality;
- 现场审核中应注意的安全事项Safety matters that should be paid attention to during on-site audits;
- 审核可能被终止的条件The conditions under which the audit may be terminated;
- 向受审核方提供询问的机会并提供申诉的途径说明Provide the auditee with an opportunity to ask questions and explain how to file a complaint.

b) 现场/远程检查要求On-site/remote inspection requirements

- 审核组成员由向导陪同或远程视频访问各被审核部门/相关过程所涉及的部门，与足够数量的员工访谈，包括最高管理层和被审核场所的操作员，以确信整个组织内体系得到实施和理解。例如审核OHSMS时，应面谈以下人员：i) 负有OHS法律责任的管理者；ii) 负责OHS的员工代表；iii) 负责监视员工健康的人员，如医生和护士。远程面谈的理由应被记录；iv) 管理人员、长期和临时员工。宜面谈其他人员：i) 从事与预防OHS风险相关活动的管理人员和员工，和ii) 承包方的管理者和员工

The audit team members, accompanied by a guide or by remote video, visit each audited department/department involved in the relevant process, and interview a sufficient number of employees, including top management and operators of the audited site, to ensure that the system is implemented and understood throughout the organization. For example, when auditing the OHSMS , the following persons should be interviewed: i) managers with legal responsibilities for OHS; ii) employee representatives responsible for OHS; iii) persons responsible for monitoring employee health, such as doctors and nurses. The reason for the remote interview should be recorded; iv) managers, permanent and temporary employees. Other persons should be interviewed: i) managers and employees engaged in activities related to the prevention of OHS risks, and ii) managers and employees of contractors.

- 审核组成员通过面谈，查阅文件，现场/远程检查有关方面的过程活动、设施，收集人员对审核目的、范围和准则理解的信息以及与职能、活动和过程间接口有关的信息。审核组应通过面对面访谈等形式，对认证委托人的最高管理者在QMS\EMS\OHSMS\ISMS\ITSMS\EnMS中发挥领导作用的情况进行重点审核，并保留现场图片/音像、审核记录等证明材料。最高管理者不熟悉组织自身的

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的QMS\EMS\OHSMS\ISMS\ITSMS\EnMS方针、QMS\EMS\OHSMS\ISMS\ITSMS\EnMS目标，未亲自参与并推动QMS\EMS\OHSMS\ISMS\ITSMS\EnMS实施的，认证审核应不予通过。

Audit team members shall collect information on personnel' s understanding of audit objectives, scope and criteria, as well as information related to interfaces among functions, activities and processes, through interviews, document review, and on- site/remote examination of relevant process activities and facilities. The audit team shall focus on auditing the top management of the certification client regarding their leadership performance in QMS, EMS, OHSMS, ISMS, ITSMS and EnMS via face- to- face interviews and other means, and retain supporting evidence such as on- site photos/audio- video records and audit records.

Where the top management is unfamiliar with the organization' s QMS, EMS, OHSMS, ISMS, ITSMS and EnMS policies and objectives, and fails to personally participate in and drive the implementation of such management systems, the certification audit shall not be passed.

审核组应当通过足够的抽样进行收集并验证信息。只有能够证实的信息方可作为审核证据。审核证据应当予以记录。审核组应当对照审核准则评价审核证据以形成审核发现，汇总与审核准则符合情况以及记录不符合和支持的证据。对发现的不符合事实应获得职能或过程负责人的确认，我司对获证组织进行有效跟踪，依据审核方案对获证组织开展监督审核，并要求获证组织的最高管理者参与审核访谈，以确认获证组织管理体系与GB/T 19001/ISO 9001、GB/T 24001/ISO 14001、GB/T 45001/ISO 45001、GB/T 22080/ISO/IEC 27001、ISO/IEC 20000 — 1、GB/T 23331/ISO 50001及相应标准的持续符合性和运行的有效性。

The audit team members shall collect information on the personnel' s understanding of the audit objectives, scope and criteria, as well as information related to the interfaces between functions, activities and processes through interviews, document review, and on-site/remote inspection of relevant parties' process activities and facilities. The audit team shall collect and verify information through sufficient sampling. Only verifiable information can be used as audit evidence. Audit evidence shall be recorded. The audit team shall evaluate the audit evidence against the audit criteria to form audit findings, summarize compliance with the audit criteria, and record non-compliance and supporting evidence. Confirmation of the non-compliance facts found shall be obtained from the person in charge of the function or process. Our company

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effectively tracks the certified organization, conducts supervision and audit of the certified organization according to the audit plan, and requires the top management of the certified organization to participate in audit interviews to confirm the continuous compliance and effectiveness of the certified organization's management system with GB/T 19001/ISO 9001、GB/T 24001/ISO 14001、GB/T 45001/ISO 45001、GB/T 22080/ISO/IEC 27001、ISO/IEC 20000 — 1、GB/T 23331/ISO 50001 and corresponding standards.

- 每天检查完成后，审核组长组织审核组沟通开会，讨论当天检查的情况，交换信息，整理审核记录，共同评审审核发现，编写不符合报告单，需要时重新分配审核组成员工作和检查重点。当审核组只有1人时，也应安排时间作为整理和评审审核发现、编写不符合项报告的时间。After each day's inspection, the audit team leader organizes a meeting for the audit team to discuss the day's inspection, exchange information, organize audit records, jointly review audit findings, write non-conformity reports, and redistribute audit team members' work and inspection priorities when necessary. When the audit team has only one person, time should also be allocated to organize and review audit findings and write non-conformity reports.

- 当可获得的审核证据显示审核目的无法实现，或显示存在紧急和重大的风险（例如安全风险）时，审核组长应向客户及认证机构报告这一情况，以确定适当的行动。该行动可以包括重新确认或修改审核计划，改变审核目的或审核范围，或者终止审核。审核组长应向认证机构报告所采取行动的结果。当出现以下情况时，审核组长应向机构报告，经技术审核部确认同意后，可终止审核，并将终止审核的原因以及已开展的工作情况形成报告，将此报告提交给认证委托人。

When the available audit evidence indicates that the audit objectives cannot be achieved, or that there are urgent and significant risks (such as safety risks), the audit team leader shall report this to the client and the certification body to determine appropriate actions. This action may include reconfirming or modifying the audit plan, changing the audit objectives or scope, or terminating the audit. The audit team leader shall report the results of the actions taken to the certification body. When the following situations occur, the audit team leader shall report to the organization, and the audit may be terminated after confirmation and agreement by the Technical Audit Department, And form a report on the reasons for terminating the audit and the progress of the work already carried out, and submit this report to the certification client.

1) 受审核方不配合或无法提供体系已经运行超过3个月的证据（包括文件、记录），认证委

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托人实际情况与申请材料有重大不一致，认证机构通过第一阶段审核发现相关申请信息和文件资料存在虚假情况的；The audited party does not cooperate or is unable to provide evidence (including documents and records) that the system has been in operation for more than 3 months, the actual situation of the certification client is significantly inconsistent with the application materials, and the certification body discovers through the first stage audit that the relevant application information and document materials are false;

2) 企业对审核活动不予配合（包括应提供而未提供生产/服务现场），审核活动无法进行

The enterprise does not cooperate with the audit activities (including failure to provide the production/service site as required), and the audit activities cannot be carried out;

3) 企业存在重大质量、环境、安全问题或严重违法欺诈行为

The enterprise has major quality, environmental or safety issues or serious illegal or fraudulent behavior;

4) 企业大部分关键过程未实施有效管理，不能达到管理体系标准推荐认证的条件Most of the key processes of the enterprise are not effectively managed and cannot meet the conditions for recommended certification of the management system standard;

5) 未开展认证范围内产品/服务的活动且不同意缩小认证范围 Failure to carry out activities related to products/services within the scope of certification and disagreement with narrowing the scope of certification;

6) 出现影响审核员健康风险因素，如自然灾害、疫情管制、安全事故及暴力冲突等Risk factors that affect auditors' health, such as natural disasters, epidemic control, safety accidents, and violent conflicts;

7) 认证委托人的最高管理者或经授权的高级管理层成员缺席首、末次会议；The top management or authorized senior management members of the certification client are absent from the first and last meetings

8) 其他导致审核程序无法完成的情况，如实际地址与策划不一致、审核当日未能与受审核方取得联系、受审核方未能提供基本的审核办公条件等等Other situations that prevent the completion of the audit process, such as inconsistency between the actual address and the plan, failure to contact the audited party on the day of the audit, and the audited party's failure to provide basic audit office conditions, etc

- 审核组长要定时向最高管理者和/或管理者代表通报审核进展情况。如审核时发现审核信息

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发生变化（如增加、变更范围，或企业实际产品、服务、活动与认证申请评审专业不一致，或审核策划专业未覆盖关键生产过程等）情况时，审核组长应与受审核方确认后，向技术审核部汇报，由技术审核部进行评审确认。技术审核部按照合同评审要求对变更后的范围进行评审，并确认审核专业及人日数是否发生变化。当审核专业或人日数发生变化时，审核方案策划人员应核实当前审核组及审核时间是否满足新的专业能力及人日要求要求，并确认是否调整审核组成员及审核时间。审核方案策划人员应将重新确认的审核方案告知审核组长，由审核组长与受审核方协商并调整审核计划。审核方案策划人应修改后认证信息在系统中更新，审核组长应在审核报告中说明相关情况

The audit team leader shall regularly report the progress of the audit to the top management and/or management representative. If the audit information is found to have changed during the audit (such as adding or changing the scope, or the actual products, services, and activities of the enterprise are inconsistent with the certification application review profession, or the audit planning profession does not cover the key production process, etc.), the audit team leader shall confirm with the auditee and report to the Technical Audit Department, which will be reviewed and confirmed by the Technical Audit Department. The technical department shall review the changed scope according to the contract review requirements and confirm whether the audit profession and man-days have changed. When the audit profession or man-days have changed, the audit plan planner shall verify whether the current audit team and audit time meet the new professional capabilities and man-day requirements, and confirm whether to adjust the audit team members and audit time. The audit plan planner shall inform the audit team leader of the reconfirmed audit plan, and the audit team leader shall negotiate with the auditee and adjust the audit plan. The audit plan planner shall update the certification information in the system after modification, and the audit team leader shall explain the relevant situation in the audit report.

审核过程中审核组长如果发现企业提供的证据不足以支持企业申请的认证范围时应及时与企业的最高管理者和/或管理者代表进行沟通确认缩小范围

During the audit process, if the audit team leader finds that the evidence provided by the enterprise is insufficient to support the scope of certification applied for by the enterprise, he or she should communicate with the enterprise's top management and/or management representative in a timely manner to confirm and narrow the scope. .

审核组长应将任何影响审核方案的重要事项（审核过程中发现的、可能导致下一次审核的范

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围、时间、资源、审核重点或审核组能力等要素发生变化的任何信息。该信息的主要输入源包括但不限于：观察项报告；不符合项报告；审核范围的变化（如组织架构、关键过程、法律法规等发生重大变化）等等，如产品/服务的季节性、有限时段作业（临时场所施工）、班次等。HACCP体系认证审核报告还应包括组织的前提计划、使用的HACCP方法，对HACCP小组的评价意见，组织的产品安全性验证结果等。）记录在审核报告里。审核组长应关注上一次审核报告中的任何影响审核方案的重要事项，并将其列入本次审核计划。

The audit team leader should disclose any significant matters that affect the audit plan (any information discovered during the audit process that may lead to changes in the scope, time, resources, focus of the audit or the capabilities of the audit team for the next audit). The main input sources of this information include but are not limited to: observation item reports; Non-conformance report Changes in the scope of review (such as significant changes in organizational structure, key processes, laws and regulations, etc.), such as the seasonality of products/services, limited-time operations (construction at temporary sites), shifts, etc." Record it in the review report. The audit team leader should pay attention to any important matters in the previous audit report that affect the audit plan and include them in the current audit plan) 内部评定和评定规则Internal assessment and assessment rules

- 审核组长召集会议，全面评定检查结果，审批不符合报告The audit team leader convenes a meeting to comprehensively evaluate the inspection results and approve non-conformity reports。

经审核组综合评定，不符合项目要开具《管理体系认证不符合报告》，报告中应写明不符合的性质、发现的部门/或过程、审核发现、审核证据和审核依据。审核组长在描述不符项时，应确认审核证据是否明确、审核准则是否清晰、判定的不符合条款是否准确。当出现以下情况时，审核组长应视情况开具严重不符合项并向机构汇报

After comprehensive assessment by the audit team, non-conformance items shall be issued a "Management System Certification Non-Conformance Report", which shall state the nature of the non-conformance, the department/or process found, the audit findings, the audit evidence and the audit basis. When describing the non-conformance items, the audit team leader shall confirm whether the audit evidence is clear, whether the audit criteria are clear, and whether the non-conformance clauses determined are accurate. When the following situations occur, the audit team leader shall issue a serious non-conformance item and report it to the organization as appropriate:

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1) 应取得而未取得相关环境批复或验收 Failure to obtain relevant environmental approval or acceptance as required;

2) 未按照环评批复或安全评价报告要求实施监测、验收并采取措施有效控制 (EMS/OHSMS 适用) Failure to implement monitoring, acceptance and take effective control measures in accordance with the requirements of the environmental impact assessment approval or safety assessment report (EMS /OHSMS applicable);

3) 危险废弃物没按照规定进行转移控制 (OHSMS 适用) Hazardous waste is not transferred and controlled in accordance with regulations (OHHSMS applies);

4) 安全及环境设施没有按照“三同时”的要求有效运行 (EMS/OHSMS 适用) Safety and environmental facilities are not effectively operated in accordance with the “three simultaneous” requirements (EMS /OHSMS applicable);

5) 关键过程、重大危险源、重要环境因素识别及控制不满足企业产品/服务、活动的特殊要求 The identification and control of key processes, major hazards, and important environmental factors do not meet the special requirements of the company’s products/services and activities;

6) 许可证书、产品资质证照过期 The license and product qualification certificate have expired;

7) 认证场所存在认证范围以外的高风险活动 (如认证范围销售的现场存在生产活动)

The certified site has high-risk activities outside the scope of certification (e.g. production activities at the sales site within the scope of certification)。

d) 在末次会议前, 审核组应向受审核方管理者或管理者代表提交不符合报告, 请受审核方代表共同评审不符合, 如有不同意见应进行讨论, 并尽可能予以解决。如未能就不符合达成一致意见, 审核组长可保留不符合, 并将相关信息记录在审核报告中。审核组如向组织提出管理体系运行改进的建议, 应说明该建议非强制性要求

Before the final meeting, the audit team shall submit a nonconformity report to the auditee’s management or management representative, and ask the auditee’s representative to jointly review the nonconformity. If there are any different opinions, they should be discussed and resolved as much as possible. If no consensus is reached on the nonconformity, the audit team leader may retain the nonconformity and record the relevant information in the audit report. If the audit team makes suggestions to the organization to improve the operation of the management system, it should state that the suggestion is not a mandatory requirement.

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e) 末次会议Final meeting

• 参加会议的人员：认证委托人的最高管理者、管理体系相关职能部门负责人（如负有OHS法律责任的管理者，负责监视员工健康的人员、负责OHS的员工代表）应参加末次会议，我司应保留末次会议签到记录、图片/音像证明材料。认证委托人的最高管理者不能参加末次会议的，应由获得书面授权的其他高级管理层成员参会，审核组应记录最高管理者缺席理由。The attendees of the meeting: the top management of the certification client, the heads of relevant functional departments of the management system (such as managers with OHS legal responsibilities, personnel responsible for monitoring employee health, and employee representatives responsible for OHS) should attend the final meeting, and our company should keep the attendance records, pictures/audio-visual proof materials of the final meeting. If the top management of the certification client is unable to attend the final meeting, other senior management members authorized in writing should attend, and the audit team should record the reasons for the absence of the top management.

• 会议由审核组长主持，由审核组汇报审核情况，提出不符合纠正措施要求，并请受审核方在规定时间内制定纠正措施并对发现的不符合予以纠正，并确认纠正措施的验证要求

The meeting is chaired by the audit team leader, and the audit team reports on the audit results, proposes corrective action requirements for non-conformities, and requests the audited party to formulate corrective measures and correct the non-conformities found within the specified time, and confirms the verification requirements for the corrective actions.

● 末次会议的议程包括The final meeting agenda includes

- 对受审核方表示感谢Express gratitude to the auditee;
- 简要回顾审核的程序Briefly review the audit process;
- 审核员报告审核的发现（不符合项、观察项）Auditor reports the audit findings (non-conformities, observations)
- 对提出的不符合项进行说明Description of the non-conformities raised;
- 审核组长宣布审核的结论The audit team leader announces the audit conclusions;
- 对审核抽样的特性（风险）进行解释explain the nature (risk) of the audit sampling;
- 提出不符合项纠正措施要求（包括验证方法、时间）Propose corrective action requirements for non-conformities (including verification methods and time)
- 对证书及标志的使用规定进行说明Explain the regulations for the use of certificates and logos;

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- 对监督审核的要求进行说明Describe the requirements for supervisory audit;
- 重申保密承诺Reaffirmation of confidentiality commitment
- 对被审核方的配合再次表示感谢Thank you again for the cooperation of the auditee
- 请受审核方管理层代表讲话Please invite the management representative of the auditee to speak
- 结束Finish

6.2 监督审核 Supervision and Audit

6.2.1 监督审核是为了确认获证客户已认证的管理体系是否持续符合管理体系认证的要求，能源绩效的持续改进是否已得到证实，在其证书有效期内依据管理体系标准对其管理体系进行的现场审核活动。审核组必须记录审核期间现场有无生产及收集生产过程控制情况/环境因素的控制情况/职业健康安全风险的证据

The purpose of the surveillance audit is to confirm whether the certified management system of the certified client continues to meet the requirements of the management system certification and whether the continuous improvement of energy performance has been confirmed . It is an on-site audit activity of the management system according to the management system standard during the validity period of its certificate. The audit team must record whether there is production on site during the audit and collect evidence of the control of production processes/environmental factors/occupational health and safety risks.

6.2.2 监督审核分为常规的监督审核和在特殊情况下的监督审核Supervisory audits are divided into regular supervisory audits and supervisory audits under special circumstances:

1) 常规的监督审核Routine supervisory audit:

为确认获证客户的管理体系持续符合管理体系认证的要求，在证书有效期内定期对其管理体系进行的现场审核活动。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。初次认证后的第一次监督审核应在认证决定日期起 12 个月内进行。监督审核不一定是对整个体系的审核，为确保监督审核活动的充分性及有效性，对监督审核减少非关键条款不应超过非关键条款总数的 50%。涉及多场所时，产品和活动相同的场所可进行抽样，产品和活动不同的场所不能抽样，总部不参与抽样。审核周期内的 2 次监督审核应覆盖认证范围内所有的产品、活动及场所。

每次监督审核应尽可能覆盖认证范围内的（重要环境因素、主要危险源和 OH&S 风险）典型产品/服务及有代表性的生产/服务过程，并确保在认证证书有效期内的监督审核覆盖认证范围内的所有典型产品/服务、有代表

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性的生产/服务过程，如因产品/服务的季节性或客户需求等原因，监督审核难以覆盖认证范围内所有代表性的生产线、行业类别与子行业类别的典型产品/服务的，应保证在认证证书有效期内的监督审核覆盖认证范围内的所有代表性的生产线、行业类别与子行业类别的典型产品/服务。监督审核应对产品的安全性进行验证，验证要求参照 6.1.3.2 中产品安全性验证的有关要求。

To confirm that the certified customer's management system continues to meet the requirements of management system certification, on-site audits of their management system are conducted regularly during the validity period of the certificate. Supervisory audits should be conducted at least once every calendar year (excluding years where re certification is required). The first supervisory audit after the initial certification should be conducted within 12 months from the date of the certification decision. Supervision and audit may not necessarily be an audit of the entire system. To ensure the adequacy and effectiveness of supervision and audit activities, the reduction of non critical clauses in supervision and audit should not exceed 50% of the total number of non critical clauses. When involving multiple locations, sampling can be conducted for locations where products and activities are the same, but sampling cannot be conducted for locations where products and activities are different, and headquarters does not participate in sampling. The two supervisory audits within the audit cycle should cover all products, activities, and venues within the scope of certification.

Each surveillance audit shall, as far as practicable, cover typical products/services and representative production/service processes within the certification scope concerning significant environmental aspects, major hazard sources and OH&S risks. It shall be ensured that surveillance audits within the validity period of the certification certificate cover all typical products/services and representative production/service processes under the certification scope.

Where it is difficult for surveillance audits to cover all representative production lines, industry categories and sub - industry categories of typical products/services due to seasonality of products/services or customer requirements, it shall be guaranteed that surveillance audits within the certificate validity period shall cover all representative production lines, industry categories and sub-industry categories of typical products/services within the certification scope.

Surveillance audits shall verify product safety in accordance with the relevant requirements for product safety verification specified in Clause 6.1.3.2.2) 特殊情况下的监督审核 Supervisory audit under special circumstances:

当获证客户在监督审核时变更、缩小或扩大认证范围，或其体系发生了较大变动，或发生重大

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顾客/相关方投诉，或其体系覆盖产品发生了重大质量事故、体系界定区域内发生重大环境危害、职业健康危害、安全事故时，或政府部门采取法律行动时，技术审核部在策划监督审核时，应考虑调整审核方案，增加审核时间，以确保对其管理体系进行的审核活动是充分的

When a certified client changes, reduces or expands the scope of certification during a supervisory audit, or its system undergoes major changes, or there are major customer/stakeholder complaints, or major quality accidents occur in products covered by its system, or major environmental hazards, occupational health hazards, or safety accidents occur within the system's defined area, or when government agencies take legal action, the Technical Audit Department should consider adjusting the audit plan and increasing the audit time when planning the supervisory audit to ensure that the audit activities on its management system are sufficient.

对 FSMS 和 HACCP, 当获证客户拟变更认证范围时，我机构将根据获证组织的申请进行评审，策划并实施适宜的审核活动，这些审核活动可单独进行，也可与获证组织的监督或再认证审核一起进行。对于申请扩大认证范围的，应对获证组织实施现场审核。如果获证组织申请缩小认证范围，或获证组织在认证范围的某些部分持续地或严重地不满足认证要求，深大认证将缩小其认证范围，以排除不满足要求的部分。认证范围的缩小不应将能够影响认证范围内终产品食品安全的活动、过程、产品或服务排除在认证范围之外

For FSMS and HACCP, when the certified client intends to change the scope of certification, our agency will review the application of the certified organization, plan and implement appropriate audit activities, which can be conducted separately or together with the supervision or recertification audit of the certified organization. For applications to expand the scope of certification, an on-site audit should be conducted on the certified organization. If the certified organization applies to reduce the scope of certification, or the certified organization continuously or seriously fails to meet the certification requirements in some parts of the scope of certification, the certification body should reduce its scope of certification to exclude the parts that do not meet the requirements. The reduction of the scope of certification should not exclude activities, processes, products or services that can affect the food safety of the final product within the scope of certification.

3) 短时间通知审核或不通知审核（适用于 ISO13485）Short-term Notification for an Audit or No Notification for an Audit (Applicable to ISO 13485)

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当出现以下情况时候，应进行短时间的通知审核或不通知审核 When one of the following situations occurs, a short-term notification audit or no notification audit shall be conducted:

当获证组织认证范围内的器械表明质量管理体系可能存在重大缺陷；与安全和性能相关的重要信息被认证机构知晓；发生重大变更，且已按规定要求提交或被认证机构知晓，并且可能影响对客户符合监管要求状态的决策；法律法规或监管机构要求时

When the certified organization's devices within the scope of certification indicate a possible significant deficiency in the quality management system; when significant safety and performance related information becomes known to the certification body; when significant changes occur which have been submitted as required by the regulations or become known to the certification body, and which could affect the decision on the client's state of compliance with the regulatory requirements; when required by laws, regulations or regulatory authorities.

4) 提前较短时间通知的审核 Review with shorter advance notice

为调查投诉、投诉、质量事故、突发环境事件、安全事故、重大及以上级别的网络安全事件，对变更做出回应或对被暂停的客户进行追踪，可能需要在提前较短时间或不通知获证组织的情况下进行审核，此时：To investigate complaints, Quality accidents, emergency environmental incidents, safety accidents, major or above - level cybersecurity incidents, respond to changes, or track suspended customers, it may be necessary to conduct audits in advance or without notifying the certified organization. At this time:

(1) 我司说明并使获证组织提前了解将在何种条件下进行此类审核；Our company will explain and inform the certified organization in advance of the conditions under which such audits will be conducted;

(2) 由于获证组织缺乏对审核组成员的任命表示反对的机会，我司在指派审核组时会给予更多的关注；Due to the lack of opportunities for certified organizations to express opposition to the appointment of audit team members, our company will pay more attention when assigning audit teams

当获证组织认证范围内的产品在产品质量国家监督抽查中被查出不合格时，自市场监管部门发出通报起30日内，我司将对该组织实施提前较短时间通知的审核。

When products within the certification scope of the certified organization are found to be unqualified in the national supervision and spot check of product quality,

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our company will conduct an audit of the organization with shorter notice within 30 days from the date of notification issued by the market supervision department.

5) 跟踪调查与不通知审核（适用于HACCP）Follow-up Investigation and Unannounced Audit (Applicable to HACCP)

对于 **HACCP** 认证，监督活动包括监督审核和跟踪调查。跟踪调查的实施，深大国际认证将在风险分析的基础上，策划采用不通知现场审核、生产现场产品抽样检验、市场抽样检验、问卷调查、宣传材料审查等方式对获证组织 **HACCP** 体系的部分或全部内容实施跟踪调查。每年跟踪调查组织的比例将不少于获证组织总数的 **5%**。当跟踪调查结果表明获证组织已不再符合认证要求时，应暂停或撤销认证证书。

For HACCP certification, surveillance activities include surveillance audits and follow-up investigations. For the implementation of follow-up investigations, SDIC shall, on the basis of risk analysis, plan to conduct follow-up investigations on part or all of the HACCP system of certified organizations by means of unannounced on-site audits, product sampling inspection at production sites, market sampling inspection, questionnaire surveys, and review of promotional materials. The annual proportion of organizations selected for follow-up investigations shall be no less than 5% of the total number of certified organizations. Where the results of follow-up investigations indicate that a certified organization no longer complies with certification requirements, the certification certificate shall be suspended or withdrawn.

对于获得 **HACCP** 认证的组织，在初次认证审核后，深大国际认证每三年策划实施一次不通知审核。不通知审核可结合监督审核或再认证审核进行，并在审核报告中注明审核类型为不通知审核。

For organizations granted HACCP certification, SDIC shall arrange and conduct an unannounced audit once every three years after the initial certification audit. The unannounced audit may be combined with a surveillance audit or a recertification audit, and the audit type shall be indicated as an unannounced audit in the audit report.

a) 应提前与获证组织确定无法实施不通知审核的时间段，以避免审核时获证组织因季节性生产、维修等原因没有生产现场的情形。

b) 在审核前 **48** 小时内向获证组织提供审核计划，获证组织无正当理由不得拒绝审核。

c) 如因安全或签证问题不能按计划实施不通知审核时，应进行风险评估并对评估结果进行记录。

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a) The time periods during which unannounced audits cannot be conducted shall be confirmed with the certified organization in advance, so as to avoid situations where no production activities are available on-site due to seasonal production, maintenance and other reasons.

b) The audit plan shall be provided to the certified organization 48 hours prior to the audit, and the certified organization shall not refuse the audit without justifiable reasons.

c) In case the unannounced audit cannot be implemented as planned due to safety or visa issues, a risk assessment shall be carried out and the assessment results shall be recorded.

6.2.3 监督审核之前，技术审核部的审核方案管理人员根据审核方案的策划提前三个月与受审核方协商监督检查的时间，得到同意后，向审核组长下达监督检查的通知《审核任务通知书》及上次审核活动的有关信息，审核组长依此通知要求和监督审核的性质（常规或特殊）编制审核计划。监督审核的时间应根据获证组织当前有效人数和管理体系风险类型确定，不少于依据 QMS\EMS\OHSMS\ISMS\ITSMS\EnMS 管理体系认证规则附录 B 及相应标准要求所确定的初次认证审核时间的 1/3。Before the supervision and audit, the audit plan management personnel of the Technical Audit Department shall negotiate with the auditee three months in advance regarding the supervision and inspection time based on the planning of the audit plan. After obtaining approval, they shall issue a notice of supervision and inspection, the "Audit Task Notice", and relevant information about the previous audit activity to the audit team leader. The audit team leader shall prepare an audit plan based on the requirements of the notice and the nature of the supervision and audit (routine or special). The time for supervision and audit should be determined based on the current number of valid personnel and management system risk types of the certified organization, and should not be less than one-third of the initial certification audit time determined in accordance with Appendix B of the QMS\EMS\OHSMS\ISMS\ITSMS\EnMS Management System Certification Rules and corresponding standard requirements.

6.2.4 监督审核的目的是验证获证客户的管理体系是否持续满足认证要求，至少应对下述相关活动/过程的运行有效性进行审核

The purpose of the surveillance audit is to verify whether the management system of the certified client continues to meet the certification requirements. At least the effectiveness of the

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following related activities/processes should be audited:

- a) 内部审核和管理评审 Internal audits and management reviews;
- b) 针对上次审核中确定的不符合采取的措施 Actions taken in response to nonconformities identified in the previous audit;
- c) 投诉的处理 Handling of complaints;
- d) 管理体系在实现获证组织目标和 QMS\EMS\OHSMS\ISMS\ITSMS\EnMS 预期结果方面的有效性
The effectiveness of the management system in achieving certified organizational goals and QMS\EMS\OHSMS\ISMS\ITSMS\EnMS expected results;
- e) 旨在持续改进所策划的活动的进展 Aims to continually improve progress in planned activities;
- f) 持续运行控制，特别是食品安全危害控制的实施 Continuous operation control;
- g) 任何变更 any changes;
- h) 标志使用或/和任何其它对认证资格的引用 Use of the logo and/or any other reference to certification status。
- i) 环境因素/危险源的更新 Update of environmental factors/hazard sources;
- j) 法律及法规的更新 Updates to laws and regulations;
- k) 环境/安全的第三方监测 Third-party environmental/safety monitoring;
- l) 重要环境因素/重大危险源因素的控制 Control of important environmental factors/major hazard sources;
- m) 法律规定的许可证件是否在有效期 Is the legally required license valid
- n) 上次审核后发生的质量事故、突发环境事件、安全事故、重大及以上级别的网络安全事件的调查与处理。 Investigation and handling of quality accidents, sudden environmental incidents, safety accidents, and major or above - level cybersecurity incidents that have occurred since the last audit
- o) 是否被列入国家信用信息严重失信主体相关名录 Whether being included in the relevant national list of seriously dishonest subjects in credit information
- p) 重要原、辅料及产品的安全性状况 Safety status of key raw materials, auxiliary materials and finished products
- q) 持续符合我国和进口国（地区）相关法律法规标准的情况 Compliance on an ongoing basis with relevant laws, regulations and standards of China and importing

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countries (regions)

r) 行业主管部门抽查的结果 Results of random inspections conducted by the competent industry authorities

监督审核计划除了以上必审要求外，必须安排对上次审核发现不符合项的纠正措施完成情况、组织的变化情况及相关新增法律法规的要求进行审核。以下涉及标准条款的内容，应当进行关注 In addition to the above mandatory audit requirements, the supervisory audit plan must arrange for the completion of corrective measures for non-conformities found in the previous audit, changes in the organization, and the requirements of relevant new laws and regulations. The following content related to standard clauses should be paid attention to:

- 1) QMS (ISO 9001:2015) 监督审核时，必审条款为第4章节、第5章节、6.3、8.3、8.5.1、8.6、8.7、9.2、9.3、第10章节；如范围仅为销售，则8.2为必审条款。如组织涉及过程外包，8.4涉及外包过程的内容为必审内容

During the QMS (ISO9001:2015) supervisory audit, the mandatory audit clauses are Section 4, Section 5, 6.3, 8.3, 8.5.1, 8.6, 8.7, 9.2, 9.3, and Section 10. If the scope is only sales, then Section 8.2 is the mandatory audit clause. If the organization involves process outsourcing, Section 8.4 involving outsourced processes is the mandatory audit content.

- 2) EMS (ISO14001:2015) 监督审核时，必审条款为第 4 章节、第 5 章节、6.1.2、8.1、9.2、9.3、第 10 章节；涉及重要环境因素的主管部门应编入审核计划，其他部门可抽样

During the EMS (ISO14001:2015) supervisory audit, the mandatory audit clauses are Chapter 4, Chapter 5, 6.1.2, 8.1, 9.2, 9.3, and Chapter 10; the competent departments involved in important environmental factors should be included in the audit plan, and other departments can be sampled.

- 3) OHSMS (ISO45001:2018) 监督审核时，必审条款为第 4 章节、第 5 章节、6.1.2、8.1、9.2、9.3、第 10 章节，涉及重大危险源的主管部门应编入审核计划，其他部门可抽样

During the supervisory audit of OHSMS (ISO45001:2018), the mandatory audit clauses are Chapter 4, Chapter 5, 6.1.2, 8.1, 9.2, 9.3, and Chapter 10. The competent departments involved in major hazardous sources should include them in the audit plan, and other departments may conduct sampling.

- 4) FSMS (ISO22000:2018) 监督审核时，必审条款为第 4 章节、第 5 章节、6.3、第8章、9.2、9.3、第 10 章节，涉及HACCP控制的主管部门应编入审核计划，其他部门可抽样

During the FSMS (ISO22000:2018) supervisory audit, the mandatory audit clauses are

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Chapter 4, Chapter 5, 6.3, Chapter 8, 9.2, 9.3, and Chapter 10. The competent departments involved in HACCP control should include them in the audit plan, and other departments may conduct sampling.

两次监督审核须覆盖体系所有标准条款，每次监督审核时，针对第 4 章、第 5 章、6.3、第 10 章的审核可重点关注其近一年的变化情况并记录变化的内容；针对 QMS:8.5.1 条款的审核，可对涉及的部分产品/服务/活动进行抽样，但须确保两次监督审核覆盖所有的产品/服务/活动；针对QMS:8.3条款的审核，如监审时发现本次审核覆盖时间内没有新产品的研发，应对其研发能力进行验证（如访谈研发部人员、查看研发设备管理等）

The two supervisory audits must cover all standard clauses of the system. During each supervisory audit, the audit of Chapter 4, Chapter 5, 6.3, and Chapter 10 can focus on their changes in the past year and record the changes; for the audit of QMS: 8.5.1, some products/services/activities involved can be sampled, but it must be ensured that the two supervisory audits cover all products/services/activities; for the audit of QMS: 8.3, if it is found during the supervisory audit that no new products are developed within the period covered by this audit, the R&D capabilities should be verified (such as interviewing R&D department personnel, checking R&D equipment management, etc.).

涉及多场所时，如根据监审对产品/服务/活动的覆盖进行抽样（新增场所不能抽样、总部不参与抽样，产品/服务/活动不一致的场所不参与抽样），在符合抽样要求的情况下，单次监督审核可以不覆盖全部场所，但须确保两次监督覆盖全部场所

When multiple sites are involved, if sampling is conducted based on the coverage of products/services/activities by the supervisory audit (newly added sites cannot be sampled, the headquarters does not participate in sampling, and sites with inconsistent products/services/activities do not participate in sampling), a single supervisory audit may not cover all sites if the sampling requirements are met, but it must be ensured that all sites are covered during both supervisions.

监督审核计划可涉及部分部门、产品和场所及过程；固定多场所审核应考虑上一次审核的样本，临时多场所应在实施前调阅现行样本

The supervisory audit plan may involve some departments, products, sites and processes; fixed multi-site audits should take into account the samples of the previous audit, and temporary multi-site audits should review the current samples before implementation.

6.2.5 变更认证范围的特殊审核 Special audit for changes in certification scope

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变更包括变更认证场所、变更认证标准、其他变更。变更的特殊审核通常可以和常规的监督审核同时进行

Changes include changes in certification sites, changes in certification standards, and other changes. Special audits of changes can usually be conducted at the same time as regular surveillance audits.

当变更认证的场所时，审核组长在策划监督审核条款时，除了监督审核的必审条款外，还应包括：体系范围变更（4.3/4.4）、变更控制（6.3）、资源配置（7.1）、文件更新（7.5）；新场所涉及的产品和活动的实现过程（Q8.5.1/8.6/8.7，EO6.1.2/8.1）；如新场所主要活动为研发，应考虑研发过程（Q8.3）；如新场所主要活动为销售，应考虑销售过程（Q8.2）；监督审核时，新增场所不参与抽样；审核时应关注企业提供的证据是否是在新场所实施的

When changing the certified site, the audit team leader should include the following items in the planning of the supervisory audit, in addition to the mandatory items for the supervisory audit: system scope change (4.3/4.4), change control (6.3), resource allocation (7.1), document update (7.5); the implementation process of the products and activities involved in the new site (Q8.5.1/8.6/8.7, EO6.1.2/8.1); if the main activity of the new site is R&D, the R&D process should be considered (Q8.3); if the main activity of the new site is sales, the sales process should be considered (Q8.2); during the supervisory audit, the newly added site does not participate in sampling; during the audit, attention should be paid to whether the evidence provided by the enterprise is implemented in the new site

当变更认证的标准时，审核组长在策划监督审核条款时，除了监督审核的必审条款外，还应包括：体系范围变更（4.3/4.4）、变更控制（6.3）、文件更新（7.5）；涉及标准内容要求变更的条款（由技术审核部给出具体审核方案）

When the certification standards are changed, the audit team leader should plan the supervision audit clauses, in addition to the mandatory audit clauses for supervision audit, also include: system scope changes (4.3/4.4), change control (6.3), document updates (7.5); clauses involving changes in standard content requirements (the Technical Audit Department shall provide a specific audit plan)

当发生其他变更时，比如产品/服务/活动或其他的描述变更，审核组长在策划监督审核条款时，除了监督审核的必审条款外，还应包括：体系范围变更（4.3/4.4）、变更控制（6.3）、文件更新（7.5）

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When other changes occur, such as changes to product/service/activity or other descriptions, the audit team leader should include the following in planning the surveillance audit terms, in addition to the mandatory audit terms for surveillance audits: system scope changes (4.3/4.4), change control (6.3), and document updates (7.5);

6.2.6 暂停后恢复的审核 Audit resumed after suspension

暂停后恢复的审核通常可以和常规的监督审核同时进行。审核组应关注暂停原因是否消除，与暂停原因相关的部门应编入审核计划；因未及时进行监督审核造成的暂停，应按照监督审核进行策划

The audit resumed after suspension can usually be conducted at the same time as the regular supervisory audit. The audit team should pay attention to whether the reason for suspension has been eliminated, and the departments related to the reason for suspension should be included in the audit plan; the suspension caused by failure to conduct supervisory audit in time should be planned according to the supervisory audit.

6.2.7 缩小认证范围的特殊审核 Special audit to reduce the scope of certification

缩小认证范围的特殊审核通常可以和常规的监督审核同时进行。审核组应关注缩小范围后是否影响体系正常运行；是否影响产品的实现；是否出现某一部分管理的缺失；是否符合法律法规的规定。审核组长在策划监督审核条款时，除了监督审核的必审条款外，还应包括：体系范围变更（4.3/4.4）、变更控制（6.3）、文件更新（7.5、以及是否修改了所有的广告材料）、运行策划（Q8.1）

Special audits that reduce the scope of certification can usually be conducted at the same time as regular surveillance audits. The audit team should pay attention to whether the reduction of scope affects the normal operation of the system; whether it affects the realization of products; whether there is a lack of management in a certain part; and whether it complies with the provisions of laws and regulations. When planning the surveillance audit clauses, the audit team leader should include, in addition to the mandatory audit clauses of the surveillance audit, the following items: system scope changes (4.3/4.4), change control (6.3), document updates (7.5, and whether all advertising materials have been modified), and operation planning (Q8.1).

6.2.8 扩大认证范围的特殊审核 Special audit to expand the scope of certification

对于已授予的认证，我司将对扩大认证范围的申请进行评审，并确定任何必要的审核活动

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（包括增加产品、活动、场所），以做出是否可予扩大的决定。扩大认证范围的特殊审核通常可以和常规的监督审核同时进行。审核组应关注受审核方扩大认证范围后是否能够符合标准要求并有效运行。审核组长在策划监督审核条款时，除了监督审核的必审条款外，还应包括：

For the certification already granted, our company will review the application to expand the scope of certification and determine any necessary audit activities (including adding products, activities, venues) to make a decision on whether it can be expanded. Special audits to expand the scope of certification can usually be conducted simultaneously with regular supervisory audits. The audit team should pay attention to whether the audited party can meet the standard requirements and operate effectively after expanding the scope of certification. When planning the supervision and audit terms, the audit team leader should include not only the mandatory audit terms for supervision and audit, but also:

1) 增加产品、活动时：体系范围变更（4.3/4.4）、变更控制（6.3）、资源配置（7.1）、文件的更新（7.5）、运行策划（Q8.1）；如涉及新增岗位或部门（如销售增加为生产），应考虑岗位职能（5.3）；新增产品和活动的实现过程，（Q8.2/8.4/8.5.1/8.6/8.7，EO6.1.2/8.1）；新增产品、活动包含研发，应考虑研发过程（Q8.3）；（说明：Q8.2至少关注新增产品的销售合同及合同评审、Q8.4至少关注新增产品的主要部件的外部提供过程的控制、Q8.5.1必须收集审核期间生产控制的证据）

When adding products or activities: system scope changes (4.3/4.4), change control (6.3), resource allocation (7.1), document updates (7.5), and operation planning (Q8.1); if new positions or departments are involved (such as sales added to production), job functions (5.3) should be considered; the implementation process of new products and activities (Q8.2/8.4/8.5.1/8.6/8.7, EO6.1.2/8.1); when new products or activities include R&D, the R&D process (Q8.3) should be considered; (Note: Q8.2 at least focuses on the sales contract and contract review of the new products, Q8.4 at least focuses on the control of the external provision process of the main components of the new products, and Q8.5.1 must collect evidence of production control during the audit)

2) 增加认证的场所时：体系范围变更（4.3/4.4）、变更控制（6.3）、资源配置（7.1）、文件更新（7.5）、运行策划（Q8.1）；新场所的岗位职能（5.3）；新场所涉及的产品和活动的实现过程（Q8.5.1/8.6/8.7，EO6.1.2/8.1）；如新场所主要活动为研发，应考虑研发过程（Q8.3）；如新场所主要活动为销售，应考虑销售过程（Q8.2）；监督审核时，新增场所不参与抽样；审核时应关注企业提供的证据是否是在新场所实施的

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When adding a certified site: changes in system scope (4.3/4.4), change control (6.3), resource allocation (7.1), document update (7.5), operation planning (Q8.1); job functions of the new site (5.3); implementation process of products and activities involved in the new site (Q8.5.1/8.6/8.7, EO6.1.2/8.1); if the main activity of the new site is R&D, the R&D process should be considered (Q8.3); if the main activity of the new site is sales, the sales process should be considered (Q8.2); during the supervisory audit, the newly added site does not participate in sampling; during the audit, attention should be paid to whether the evidence provided by the company was implemented in the new site.

6.3 再认证审核 Recertification Audit

再认证审核目的是为了确认被审核方整体的管理体系在一个认证周期内是否持续符合性认证准则的要求并得到有效性运行

The purpose of the re-certification audit is to confirm whether the auditee's overall management system continues to comply with the requirements of the certification criteria and operates effectively during a certification cycle.

6.3.1 认证证书期满前, 获证组织申请继续持有认证证书的, 我司应依据审核方案实施再认证审核, 以判断获证组织的管理体系认证作为一个整体与认证准则 (GB/T 19001/ISO 9001、GB/T 24001/ISO 14001、GB/T 45001/ISO 45001、GB/T 22080/ISO/IEC 27001、ISO/IEC 20000—1、GB/T 23331/ISO 50001等) 及相应标准的持续符合性和运行的有效性。Before the expiration of the certification certificate, if the certified organization applies to continue holding the certification certificate, our company should implement a re certification audit according to the audit plan to determine the continuous compliance and effectiveness of the certified organization's management system certification as a whole with GB/T19001 and corresponding standards.

6.3.2 再认证审核应在获证组织现场进行, 并应在认证证书到期前完成。再认证审核的内容至少应包括: The re certification audit should be conducted on-site by the certified organization and should be completed before the expiration of the certification certificate. The content of the re certification audit should at least include:

(1) 结合其内部环境和外部环境的变化情况, 确认获证组织管理体系认证有效性及认证范围的持续相关性和适宜性; Based on the changes in its internal and external environment, confirm the effectiveness of the certified organization's management system

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certification and the continued relevance and suitability of the certification scope

(2) 管理体系认证绩效持续改进的证实；Confirmation of Continuous Improvement in Management System Certification Performance

(3) 管理体系认证在实现获证组织目标和管理体系认证预期结果方面的有效性。The effectiveness of management system certification in achieving certified organizational goals and expected results of management system certification

对FSMS, 再认证审核应确保对认证范围内有代表性的生产线、行业类别与子行业类别的典型产品/服务进行审核For FSMS, recertification audits should ensure that representative production lines, industry categories and sub-industry categories within the scope of certification are audited.

对HACCP, 再认证审核时, 产品 / 服务实现现场至少应覆盖认证范围内的所有产品 / 服务类别。In terms of HACCP, during the recertification audit, the on-site product/service realization activities shall cover at least all product/service categories within the scope of certification.

对EnMS, 再认证审核应确定能源绩效的持续改进是否已得到证实, 再认证审核也应考虑到设施、设备、系统或过程发生的重大变化。对能源绩效持续改进的确认是授予再认证的条件。

For an EnMS, the recertification audit should determine whether continual improvement in energy performance has been demonstrated. The recertification audit should also take into account significant changes to facilities, equipment, systems or processes. Confirmation of continual improvement in energy performance is a condition for granting recertification

对ISMS, 再认证审核程序, 应与有关客户 ISMS 的初次认证审核的要求和指南保持一致。允许采取纠正措施的时间, 应与不符合的严重程度和相关的信息安全风险相一致for the ISMS should be consistent with the requirements and guidance for the initial certification audit of the client's ISMS. The time allowed for corrective action should be consistent with the severity of the nonconformity and the associated information security risk.

6.3.3再认证审核策划时应考虑获证组织最近一个认证周期内的管理体系绩效, 包括调阅以往的监督审核报告。When planning the re certification audit, consideration should be given to the Management System performance of the certified organization in the most recent certification cycle, including accessing previous supervisory audit reports

6.3.4再认证审核的审核时间应按《管理体系人日数规定》的要求, 根据获证组织当前有效人

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数和相应的风险类型情况来确定，通常情况下，再认证无需再进行第一阶段审核，再认证审核时间不少于QMS\EMS\OHSMS\ISMS\ITSMS\EnMS管理体系认证规则附录B及相应标准要求所确定的初次认证审核时间的2/3。The audit time for re certification review should be determined according to the requirements of the "Regulations on the Number of Management System Person Days", based on the current number of valid personnel and corresponding risk types of the certified organization. Generally, re certification does not require the first stage audit, and the re certification audit time should not be less than 2/3 of the initial certification audit time determined by Appendix B of the "QMS\EMS\OHSMS\ISMS\ITSMS\EnMS Management System Certification Rules" and corresponding standard requirements.

6.3.5再认证审核应当在当前认证证书的终止日期前完成审核及关闭不符合，如超过当前认证证书的终止日期仍未完成再认证相关事宜，则不应推荐再认证或延长证书效力，应按照初次认证实施审核并重新颁发证书（原有证书失效）。市场拓展部应将此情况告知客户并解释后果。Re certification review should be completed and non conformities closed before the termination date of the current certification certificate. If the re certification related matters are not completed after the termination date of the current certification certificate, re certification or extension of the certificate validity should not be recommended. The review should be carried out according to the initial certification and a new certificate should be issued (the original certificate will become invalid). The Market Development Department should inform the customer of this situation and explain the consequences

6.3.6 对再认证审核中发现的不符合项，深大认证将规定时限要求获证组织实施纠正与纠正措施，并应原认证证书到期前完成对纠正与纠正措施的验证

For non conformities found during the re certification audit, the certification body shall set a time limit for the certified organization to implement corrective and corrective measures, and shall complete the verification of corrective and corrective measures before the expiration of the original certification certificate

6.3.7 再认证审核的认证决定宜在上一认证周期认证证书到期前完成，最迟应在证书到期之日起 6 个月内完成。如果在当前认证证书终止日期前，我司未能完成再认证审核或对严重不符合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。

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The certification decision for re certification review should be completed before the expiration of the certification certificate in the previous certification cycle, and should be completed no later than 6 months from the expiration date of the certificate. If our company fails to complete the re certification audit or verify the correction and corrective measures for serious non conformities before the current certification certificate expiration date, we should not re certify or extend the validity period of the original certification certificate

如果在认证终止日期前，未对严重不符合实施的纠正和纠正措施，则不应推荐再认证，也不应延长认证的效力。市场拓展部应将此情况告知客户并解释后果If corrections and corrective actions for major nonconformities are not implemented before the certification expiration date, recertification should not be recommended and the certification should not be extended. Marketing Development should inform the client of this and explain the consequences。

7 审核后活动 Audit follow-up activities

7.1 在初次认证审核/监督审核/再认证审核结束后，审核组长负责按《管理体系审核归档资料清单》将完整的审核报告及其附件（含不符合报告）提交技术审核部进行评审和批准After the initial certification audit/surveillance audit/re-certification audit, the audit team leader is responsible for submitting the complete audit report and its attachments (including non-conformity report) to the Technical Audit Department for review and approval in accordance with the "Management System Audit Archive Document List".

7.2 纠正措施跟踪验证 Corrective Action Tracking and Verification

审核中若存在一般不符合，则要求受审核方在限定时间内（通常为15日，特殊情况下可适当延长，最长不超过3个月）提交纠正证据或纠正计划，通常情况下，审核组可通过文件评审方式对纠正及纠正措施进行验证确认后关闭不符合项；若存在严重不符合项，严重不符合的验证时限应满足以下要求：If there are general non conformities during the audit, the auditee is required to submit corrective evidence or a corrective plan within a limited time (usually 15 days, which may be appropriately extended in special circumstances, up to a maximum of 3 months). In general, the audit team can verify and confirm the corrections and corrective measures through document review before closing the non conformities; If there are serious non conformities, the verification deadline for serious non conformities should meet the following requirements:

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(1) 初次认证：在第二阶段审核结束之日起6个月内完成；Initial certification: to be completed within 6 months from the end of the second stage audit

(2) 监督审核：在审核结束之日起3个月内完成；Supervision and review: to be completed within 3 months from the date of completion of the review

(3) 再认证：在原认证证书到期前完成。Re certification: Completed before the expiration of the original certification certificate

当存在严重不符合项时，审核组长应填写严重不符合项验证说明，经向机构确认后，向受审核方分发，并说明后续不符合项验证的方式，当存在以下严重不符合情况时，应安排进行现场验证：When there are serious non conformities, the audit team leader should fill out a verification explanation for the serious non conformities. After confirmation with the organization, it should be distributed to the auditee and the subsequent verification method for the non conformities should be explained. When there are the following serious non conformities, on-site verification should be arranged:

1) 受审核体系运行某一方面存在缺失There is a deficiency in some aspect of the operation of the audited system;

2) 重大风险控制存在缺陷There are deficiencies in major risk control;

3) 重要环境因素、重大危险源等控制措施失效Control measures for important environmental factors, major hazardous sources, etc. fail to work;

4) 未按照相关法律法规要求实施控制措施Failure to implement control measures in accordance with relevant laws and regulations;

5) 其他审核组认为应该实施现场验证的情况Other situations where the audit team believes that on-site verification should be carried out;

一般不符合项通常由审核组长进行验证后关闭，审核组长也可以委托开具不符合项的审核员或专业审核员进行验证关闭。严重不符合项现场跟踪验证由公司技术审核部重新委派审核组，通常为原审核组的成员。现场跟踪验证的日期由技术审核部与受审核方重新商定

Generally, the non-conformities are closed after verification by the audit team leader. The audit team leader can also entrust the auditor who issued the non-conformity or the professional auditor to verify and close it. The on-site follow-up verification of serious non-conformities is re-assigned by the company's Technical Audit Department, usually members of the original audit team. The date of on-site follow-up verification is renegotiated by the Technical Audit

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Department and the auditee。

7.3 对于因审核终止需要重新恢复的审核，除以下情况外，均按初次认证流程重新实施一阶段

For audits that need to be resumed due to termination, the first stage shall be re-implemented according to the initial certification process, except for the following circumstances:

1) 企业因工作安排原因未能安排人员配合审核导致审核终止

The audit is terminated because the enterprise fails to arrange personnel to cooperate with the audit due to work arrangements;

2) 发生不可抗力因素，如自然灾害、安全事故及暴力冲突等导致审核终止

The audit is terminated due to force majeure, such as natural disasters, safety accidents and violent conflicts;

7.4 认证决定 Certification Decision

审核组长在完成不符合项验证后，根据《审核归档资料清单》的要求，在受审核方整改措施提交验证通过后的15天内向技术审核部提交审核资料。技术审核部在接到审核组上交的审核资料后，安排合格评定人员对审核资料进行合格评定，评价审核过程、审核报告和审核组推荐意见，合格评定执行《认证决定、证书颁发和审核/审查资料处理程序》。对在合格评定中发现审核资料的问题点，审核组长应及时采取纠正措施，合格评定人员验证纠正的结果是否满足要求

After completing the verification of non-conformities, the audit team leader shall submit the audit materials to the Technical Audit Department within 15 days after the auditee's corrective measures are submitted and verified according to the requirements of the "Audit Archive Materials List". After receiving the audit materials submitted by the audit team, the Technical Audit Department arranges the conformity assessment personnel to conduct conformity assessment on the audit materials, evaluate the audit process, audit report and audit team recommendations, and the conformity assessment implements the "Certification Decision, Certificate Issuance and Audit/Review Materials Processing Procedure". For problems found in the audit materials during the conformity assessment, the audit team leader shall take corrective measures in a timely manner, and the conformity assessment personnel shall verify whether the results of the corrections meet the requirements.

对于认证委托人未能在规定的时限内完成对不符合所采取措施的情况，我司不做出授予认证、保持认证或更新认证的决定。

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Our company does not make a decision to grant, maintain, or renew certification if the certification client fails to complete the measures taken for non-compliance within the prescribed time limit.

通常情况下，机构应在组长提交审核资料后 15 天内作出认证决定并颁发认证证书。如果不能在规定的时限内完成，应当向受审核方通报延误理由，并就新的完成日期达成一致

Normally, the organization should make a certification decision and issue a certification certificate within 15 days after the team leader submits the audit materials . If it cannot be completed within the specified time limit, the auditee should be informed of the reasons for the delay and a new completion date should be agreed upon.

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 has the following circumstances, the applicant organization will be assessed as not meeting the certification requirements, and the applicant organization will be notified in writing and the reasons for its failure to pass the certification will be explained.

(1) 受审核方的管理体系有重大缺陷，不符合标准的要求 The audited party' s management system has major deficiencies and does not meet the requirements of the standard.

(2) 发现受审核方存在重大质量问题或有其他与产品和服务质量相关严重违法违规行为 The audited party is found to have major quality and safety issues or other serious violations of laws and regulations related to product and service quality.

深大认证将在每次审核作出认证决定后 30 个工作日内将书面的审核报告提交认证委托人，并保留签收或提交的证据，审核组长应对审核报告的内容负责。

the certification body shall submit a written audit report to the certification client within 30 working days after each audit decision is made, and retain evidence of receipt or submission. The audit team leader shall be responsible for the content of the audit report.

FSMS 食品安全管理体系认证决定时，对审核结果进行综合评价，特别是对产品的实际安全状况进行评价，必要时，公司应对申请组织满足所有认证依据的情况进行风险评估，以做出申请组

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织所建立的食品安全管理体系是否获得认证的決定 FSMS food safety management system certification, the company will conduct a comprehensive evaluation of the audit results, especially the actual safety status of the product. If necessary, the company will conduct a risk assessment on whether the applicant organization meets all certification criteria in order to decide whether the food safety management system established by the applicant organization will be certified.

HACCP 体系认证决定时，深大认证将根据审核过程中收集的信息和其他有关信息，特别是对产品的实际安全状况和企业诚信情况进行综合评价，做出认证决定。审核组成员不得参与认证决定

When making a decision on HACCP system certification, the certification body will make a certification decision based on the information collected during the audit process and other relevant information, especially a comprehensive evaluation of the actual safety status of the product and the integrity of the enterprise. Audit team members shall not participate in the certification decision.

ISMS 认证决定，除满足以上要求外，认证决定应基于审核报告中审核组对客户 ISMS 是否通过认证的建議，只有具备重复的证据证实管理体系评审和 ISMS 内部审核的安排已经实施，且是有效的并将得到保存，才可向客户授予认证。通常情况下，对授予认证做出决定的人员或委员会不宜推翻审核组的负面建議。如果发生这种情况，深大认证将记录其作出推翻建議的決定的依据，并说明其合理性

In addition to meeting the above requirements, the ISMS certification decision should be based on the audit team's recommendation on whether the client's ISMS is certified in the audit report. Certification can only be granted to the client if there is repeated evidence that the arrangements for management system review and ISMS internal audit have been implemented and are effective and will be preserved. Normally, the person or committee that makes the decision to grant certification should not overturn the negative recommendation of the audit team. If this happens, the certification body should record the basis for its decision to overturn the recommendation and explain its rationale.

对审核发现的不符合，我司对认证委托人所采取的纠正措施的有效性进行验证。认证委托人

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可以针对轻微不符合制定纠正措施计划，由我司在下次审核时验证。认证委托人未按规定的期限采取纠正措施，将按《暂停、撤销、注销、扩大、缩小和终止认证程序》进行暂停、撤销、注销、扩大、缩小或终止认证，最终的认证决定/保持认证/再认证决定按照《认证决定、证书颁发和审核/审查资料处理程序》执行，并由技术审核部通知受审核方

We will verify the effectiveness of the corrective measures taken by the certification client for the non conformities identified during the audit. The certification client can develop a corrective action plan for minor non conformities, which will be verified by our company during the next audit. If the certification client fails to take corrective measures within the prescribed time limit, the certification will be suspended, revoked, cancelled, expanded, reduced or terminated in accordance with the "Suspension, Revocation, Cancellation, Expansion, Reduction and Termination Certification Procedure". The final certification decision/maintenance certification/re certification decision will be executed in accordance with the "Certification Decision, Certificate Issuance and Audit/Review Data Processing Procedure", and the Technical Audit Department will notify the auditee

审核报告的内容应准确、简明和清晰，反映认证委托人管理体系的真实状况，描述对照 GB/T 管理体系标准（GB/T 19001/ISO 9001、GB/T 24001/ISO 14001、GB/T 45001/ISO 45001、GB/T 22080/ISO/IEC 27001、ISO/IEC 20000—1、GB/T 23331/ISO 50001）的符合性和有效性的客观证据信息，及对认证结论的推荐意见。审核组应对在第一阶段和第二阶段审核中收集的所有信息和证据进行分析，以评审审核发现并就审核结论达成一致。The content of the audit report shall be accurate, concise and clear, reflect the actual status of the certification client's management system, describe the objective evidence information on the conformity and effectiveness against and management system standards (GB/T 19001/ISO 9001、GB/T 24001/ISO 14001、GB/T 45001/ISO 45001、GB/T 22080/ISO/IEC 27001、ISO/IEC 20000—1、GB/T 23331/ISO 50001), and provide recommendations on the certification conclusion.

The audit team shall analyze all information and evidence collected during the Stage 1 and Stage 2 audits, so as to review the audit findings and reach agreement on the audit conclusions.

审核报告至少应包括或引用以下内容：The audit report should at least include or reference the following content:

- (1) 认证机构名称；Name of certification body;

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(2) 认证委托人的名称和地址及其代表； Name and address of the authentication client and their representative

(3) 审核类型（如，初次认证、监督、再认证或其他类型）； Audit type (such as initial certification, supervision, re certification, or other types)

(4) 结合、联合或一体化审核情况（适用时）； Combined, joint or integrated audit situation (when applicable)

(5) 审核准则； Review Guideline

(6) 审核目的及其是否达到的确认； Confirmation of audit purpose and whether it has been achieved

(7) 审核范围，特别是标识出所审核的组织、职能单元或过程，以及审核时间； Audit scope, especially identifying the organization, functional unit or process being audited, as well as the audit time

(8) 任何偏离审核计划的情况及其理由； Any deviation from the audit plan and its reasons

(9) 任何影响审核方案的重要事项； Any important matters that affect the audit plan

(10) 审核组成员姓名、身份及任何与审核组同行的人员； Names, identities, and any personnel accompanying the audit team

(11) 审核活动（现场或非现场，永久或临时场所）的实施日期和地点； Implementation date and location of audit activities (on-site or off-site, permanent or temporary locations)

(12) 应描述与审核类型要求一致的审核发现、审核证据（或审核证据的引用）以及审核结论，重点反映认证委托人主要产品和服务提供过程/重要环境因素识别/危险源和 OH&S 风险识别/安全风险识别/与控制情况、内部审核和管理评审的过程、所取得的绩效，认证委托人实际情况与其预期 QMS\EMS\OHSMS\ISMS\ITSMS\EnMS 目标之间存在的差距和改进机会； Audit findings, audit evidence (or references to audit evidence) and audit conclusions shall be described in consistency with audit-type requirements. Emphasis shall be placed on reflecting the certification client's principal products and service provision processes, identification of significant environmental aspects, identification of hazards and OH&S risks, identification of security risks, and their controls; the processes of internal audit and management review; as well as achieved performance. Gaps and opportunities for improvement between the actual situation of the certification client and its intended QMS, EMS, OHSMS, ISMS, ITSMS and EnMS objectives shall also be addressed.

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(13) 行政监管部门在质量方面抽查的不合格情况，及相关原因分析和整改措施的有效性（适用时）； The effectiveness of the quality inspection of non conformities by administrative regulatory departments, as well as the analysis of related reasons and corrective measures (when applicable)

(14) 上次审核后发生的影响认证委托人管理体系的重要变更（适用时）； Significant changes affecting the certification client's management system that occurred after the last audit (when applicable)

(15) 获证组织对认证证书和认证标志使用的控制情况（适用时）； The control situation of the certified organization over the use of certification certificates and certification marks (when applicable);

(16) 对以前不符合采取的纠正措施有效性的验证情况（适用时）； Verification of the effectiveness of corrective measures taken for previous non-compliance (when applicable)

(17) 已识别出的任何未解决的问题； Any unresolved issues identified

(18) 说明审核基于对可获得信息的抽样过程的免责声明； Disclaimer that the audit is based on the sampling process of available information

(19) 与环境相关的行政处罚和认证委托人发生的突发环境事件，及相关原因分析和整改措施的有效性（适用 EMS） Environmental- related administrative penalties, sudden environmental incidents occurred to the certification client, together with relevant cause analysis and effectiveness of corrective and remedial measures (applicable to EMS)

(20) 与 OH&S 相关的行政处罚和认证委托人发生的 OH&S 事故及职业病情况，及相关原因分析和整改措施的有效性（适用 OHSMS） OH&S- related administrative penalties, OH&S accidents and occupational diseases occurred to the certification client, together with relevant cause analysis and effectiveness of corrective and remedial measures (applicable to OHSMS).

(21) 对于初次认证审核和再认证审核，应包括量化的能源绩效改进情况；对于监督审核，应包括获证组织已策划的能源绩效改进措施实施情况（EnMS） For initial certification audits and recertification audits, quantified energy performance improvement shall be included; for surveillance audits, implementation status of planned energy- performance improvement measures by the certified organization shall be included (EnMS).;

(22) 与网络安全相关的行政处罚，及相关原因分析和整改措施的有效性（适用 ISMS） Cybersecurity- related administrative penalties, together with relevant cause

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analysis and effectiveness of corrective and remedial measures (applicable to ISMS)

(23) 审核组的推荐意见以及对申请的认证范围适宜性的结论。Recommendations from the review team and conclusions on the suitability of the certification scope applied for

审核组应保留用于证实审核报告中相关信息的审核证据，并提交公司保存。The audit team should retain audit evidence used to verify the relevant information in the audit report and submit it to the company for safekeeping.

管理体系审核报告由公司总经理或总经理委托人员批准，如果批准的报告与现场报告的审核结果存有差异，应进行必要的说明。技术审核部将合格评定符合要求的认证审核资料移交行政人事部出具认证证书。证书打印人员依据证书确认件印制认证证书。相关业务人员将证书、及《管理体系审核报告》提交给受审核方

The management system audit report shall be approved by the company's general manager or the person authorized by the general manager . If there is a difference between the audit results of the approved report and the on-site report , necessary explanations shall be given . The Technical Audit Department shall hand over the certification audit materials that meet the requirements of the conformity assessment to the Administrative Personnel Department for the issuance of the certification certificate. The certificate printing personnel shall print the certification certificate based on the certificate confirmation. The relevant business personnel shall submit the certificate and the "Management System Audit Report" to the audited party.

8 影响认可机构、合格评定机构和获证组织的突发事件或情况的管理

Management of emergencies or situations affecting accreditation bodies, conformity assessment bodies and certified organizations

当发生影响认可机构、合格评定机构和获证组织的突发事件或情况时，如疫情、战争、罢工、暴乱、政治不稳定、地缘政治紧张、恐怖主义、犯罪、流行病、洪水、地震、恶意黑客攻击、其他自然或人为灾难等“不可抗力”，按照以下方式进行管理

When an emergency or situation occurs that affects accreditation bodies, conformity assessment bodies and certified organizations, such as epidemics, wars, strikes, riots, political instability, geopolitical tensions, terrorism, crime, epidemics, floods, earthquakes, malicious

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hacker attacks, other natural or man-made disasters, etc. , it is managed in the following manner:

1) 在突发事件或情况期间, 提供线上认证申请受理、咨询释疑、沟通整改等服务, 可采取合理的方式对新申请、监督或再认证的企业实行远程审核, 按照《远程审核管理方案》进行管理。During emergencies or situations, we provide online certification application acceptance, consultation and clarification, communication and rectification services. We can adopt reasonable methods to implement remote audits for new applications, supervision or re-certification of enterprises, and manage them in accordance with the "Remote Audit Management Plan".

9、获证组织发生重大质量事故/ 环境事件 /重大生产安全事故/ 重大及以上级别网络安全事件的, 我司将对该组织的认证过程进行自查, 并按照认证行政监管部门的要求, 在规定的时间内提供相关认证材料。

Where a certified organization suffers major quality accidents, environmental incidents, major work-safety accidents, or major or above- level cybersecurity incidents, our organization shall carry out a self - inspection of the certification process for such organization, and furnish relevant certification materials within the prescribed time limit as required by the certification administrative regulatory authority.

10、为了证实认证活动的实施, 除了我司要保持认证过程的认证记录外, 获证组织应留存认证证书有效期内相应的认证记录, 至少包括: In order to verify the implementation of certification activities, in addition to our company maintaining certification records of the certification process, the certified organization should retain corresponding certification records during the validity period of the certification certificate, including at least:

- (1) 认证合同; certified contract
- (2) 审核计划; Audit Plan
- (3) 首、末次会议签到表; Sign in sheet for the first and last meetings
- (4) 不符合报告及原因分析和纠正措施; Non conformance report, root cause analysis, and corrective measures
- (5) 审核报告; Audit Report
- (6) 暂停、撤销通知 (适用时) 。Suspension and revocation notice (when applicable)

证记录应真实、准确、完整, 以证实认证活动得到有效实施。认证记录包括但不限于 Certification records shall be true, accurate and complete to demonstrate that certification activities have been effectively implemented. Certification records include, but are not limited to::

- (1) 认证申请书 Certification application form;
- (2) 认证申请评审记录 Certification application review records;

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- (3) 认证合同 Certification contract;
- (4) 审核方案，包括多场所抽样方法（适用时） Audit programme, including multi- site sampling method (where applicable);
- (5) 确定审核时间的理由（计算过程） Justification for determination of audit time (calculation process);
- (6) 审核计划 Audit plan;
- (7) 首、末次会议签到表 Attendance sheets for opening and closing meetings;
- (8) 现场审核记录 On- site audit records;;
- (9) 不符合报告及验证记录 Nonconformity reports and verification records;
- (10) 审核报告 Audit report;
- (11) 认证决定记录 ertification decision records