

 深圳市深大国际认证有限公司 SHENDA INTERNATIONAL CERTICATION CO., LTD		版次 Edition	B/9
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认证申请及受理程序

Certification Application and Acceptance Procedure

发行部门 Issuing Department:	市场拓展部 Market Development Department	日期 Date:	2026 年 2 月 27 日 February 27, 2026
编 制 Preparation:	邹 烟 华 Zouyanhua	日期 Date:	2026 年 2 月 27 日 February 27, 2026
审 核 Audit:		日期 Date:	2026 年 2 月 27 日 February 27, 2026
批 准 Approval:		日期 Date:	2026 年 2 月 27 日 February 27, 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	2026.2.27	2026.2.27	2026.2.27	2026.2.27

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	2016/5/25	增加 ISO 22000 食品安全管理体系相关内容。Add relevant contents of ISO 22000 food safety management system.	邹烟华 Zouyanhua	尹雪晨 Yinxuechen
2	2018/1/3	统一格式，增加服务认证的内容。Unify the format and increase the content of service certification	邹烟华 Zouyanhua	尹雪晨 Yinxuechen
3	2020/3/10	增加 HACCP 体系相关内容 Add relevant contents of HACCP system	邹烟华 Zouyanhua	尹雪晨 Yinxuechen
4	2020/4/10	增加良好农业规范认证、有机产品认证体系相关内容 Increase the content of good agricultural practice certification and organic product certification system.	邹烟华 Zouyanhua	尹雪晨 Yinxuechen
5	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 Revised in accordance with the Implementation Rules	邹烟华 Zouyanhua	陈海玲 Chenhailing

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		for Certification of food safety Management Systems (CNCA-N-007: 2021)		
6	2023/1/17	4.1.2.2 3)增加申请 OHSMS 提供的特定资料 4.1.2.2 3) Add the specific data provided by the application OHSMS	邹烟华 Zouyanhua	尹雪晨 Yinxuechen
7	2023/12/21	更新参照文件 Update the reference file	邹烟华 Zouyanhua	尹雪晨 Yinxuechen
8	2025.10.31	按新的质量管理体系认证规则修订 Revised in accordance with the new Rules for Quality Management System Certification	邹烟华 Zouyanhua	尹雪晨 Yinxuechen
9	2026.2.27	按新管理体系认证规则修订	邹烟华 Zouyanhua	陈海玲 Chenhailing

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1 范围 Scope

本程序规定了管理体系/服务认证/产品认证的申请的有关要求。适用于公司管理体系/服务认证/产品认证申请的评审与受理的活动This procedure specifies the relevant requirements for the application of management system/service certification. It is applicable to the review and acceptance of the company's management system/service certification application.

2 参照文件 Reference documents

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

CNAS-CC02:2013 《产品、过程和服务认证机构要求》

CNAS-CC02:2013 Requirements for Bodies Certifying Products, Processes and Services

CNAS-CC180:2023 《食品安全管理体系认证机构要求》

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

3 管理职责 Management responsibilities

3.1 公司总经理负责各管理体系/服务认证申请的合同的最终签署 The general manager of the company is responsible for the final signing of the contract for each management system/service certification application.

3.2 市场拓展部负责向顾客提供申请表、管理体系/服务认证注册规则、合同等文本，价格商定并组织技术审核部进行认证申请受理、合同评审 The Market Development Department is responsible for providing the customer with the application form, management system/service certification registration rules, contract and other texts, negotiating the price and organizing the Technical Audit Department to accept the certification application and review the contract.

3.3 技术审核部合同评审人员负责认证申请的评价和合同评审工作 The contract review personnel of the Technical Audit Department shall be responsible for the

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evaluation of the certification application and the contract review.

3.4 技术审核部对合同评审进行协助The Technical Audit Department shall assist in contract review.

4. 工作程序 Working procedures

4.1 初次认证申请与评审 Initial Certification Application and Review

4.1.1 市场拓展部业务人员指导认证申请组织如实填写《管理体系认证申请书》/《服务认证申请书》/《产品认证申请书》，按要求提供相关资料。《管理体系认证申请书》/《服务认证申请书》/《产品认证申请书》需经申请组织代表签字，并盖申请组织的公章

The business personnel of the Market Development Department shall guide the organization applying for certification to fill in the Application for Management System Certification/Application for Service Certification/Application for Product Certification truthfully, and provide relevant information as required. Application for Management System Certification/Application for Service Certification/Application for Product Certification shall be signed by the representative of the applicant organization and affixed with the official seal of the applicant organization.

4.1.2 申请认证组织应提交的资料及具备的条件 Information to be submitted by the organization applying for certification and conditions to be met

4.1.2.1 申请管理体系认证的组织应具备以下条件 An organization applying for management system certification shall also meet the following requirements:

- (1) 取得合法主体资格，并处于有效期内；
- (2) 取得相关法律法规规定的行政许可（适用时），并处于有效期内；
- (3) 已按认证标准建立 QMS/EMS/OHSMS/ISMS/ITSMS，且运行满三个月（能源管理体系运行满 6 个月）；
- (4) 因获证组织自身原因被原发证机构暂停或撤销认证证书已满一年（适用时）；
- (5) 原管理体系认证证书发证机构被国家认监委撤销管理体系认证资质已满三个月

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（适用时）；

（6）当前未被行政监管部门责令停产停业整顿；

（7）当前未列入“国家企业信用信息公示系统”和“信用中国”发布的严重违法失信名单；

（8）一年内未发生被行政监管部门责令停产停业整顿的重大质量事故/发环境事件（一年内未发生重大安全生产事故）；

（9）一年内申请认证范围内的产品未发生产品质量国家监督抽查不合格，或发生产品质量国家监督抽查不合格但已按相关规定整改合格；

（10）生产、加工及经营的产品或提供的服务符合相关法律、法规、标准和规范的要求；

（11）三年内未因食品安全事故、违反国家食品安全管理相关法规或虚报、瞒报获证所需信息，而被认证机构撤销认证证书（FSMS、HACCP 适用）。

（12）一年内未发生重大及以上级别的网络安全事件（适用于 ISMS）

（13）其他应具备的条件。

(1) Obtain legal subject qualifications and be within the validity period;

(2) The administrative license stipulated in relevant laws and regulations (when applicable) has been obtained and is within the validity period;

(3) QMS/EMS/OHSMS/ISMS/ITSMS/FSMS/HACCP have been established in compliance with the certification standards and implemented for no less than three months (the energy management system shall be implemented for no less than six months);

(4) It has been one year since the certification certificate was suspended or revoked by the original issuing agency due to the certified organization' s own reasons (when applicable);

(5) It has been three months since the original management system certification certificate issuing agency was revoked by the National Certification and Accreditation Administration (CNCA) for management system certification qualifications (when applicable);

(6) It has not been ordered by the administrative regulatory authorities to suspend production or business for rectification;

(7) It is not currently included in the list of serious illegal and untrustworthy persons published by the "National Enterprise Credit Information Publicity System" and "Credit China";

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(8) No major quality accident occurred within one year that was ordered by the administrative regulatory department to suspend production and business for rectification;

(9) The products within the scope of application for certification have not failed the national supervision and spot inspection of product quality within one year, or have failed the national supervision and spot inspection of product quality but have been rectified and passed according to relevant regulations;

(10) The products produced, processed and operated or the services provided comply with the requirements of relevant laws, regulations, standards and specifications;

(11) The certification certificate has not been revoked by the certification body within three years due to food safety accidents, violation of relevant national food safety management regulations, or false reporting or concealment of information required to obtain certification (applicable to FSMS and HACCP).

(12) No major or above - level cybersecurity incidents have occurred within one year (Applicable to ISMS)

(13) Other conditions that should be met.

2) 申请食品安全管理体系认证的组织还应具备三年内未因食品安全事故、违反国家食品安全管理相关法规或虚报、瞒报获证所需信息，而被认证机构撤销认证证书 The organization applying for the certification of food safety management system shall also have the information required for obtaining the certificate within three years due to food safety accidents, violation of relevant national regulations on food safety management, or false reporting and underreport, and the certificate shall be revoked by the certification body。

3) 若申请组织为组织内部的一部分而非独立法人，则应提供上级组织的经营资格证明文件，并由上一级组织出具证明其相互关系的文件 If the applicant organization is an internal part of the organization rather than independent legal person, the business qualification certificate of the superior organization shall be provided, and the superior organization shall issue a document to prove their mutual relationship。

4) 未列入严重违法失信名单 Not included in the list of serious violations of law and dishonesty;

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4.1.2.2 申请各管理体系认证需提供的通用资料 General information to be provided when applying for management system certification

1) 认证申请，包括认证委托人的名称、地址、认证依据的标准、申请的认证范围、认证范围内人员数量及影响体系有效性的外包过程；

(2) 法律地位的证明文件，当管理体系（QMS\EMS\OHSMS\ISMS\ITSMS\EnMS）覆盖多个法律实体时，应提供每个法律实体的法律地位证明文件；

(3) 申请认证范围所涉及的质量法律法规要求的行政许可文件、资质证书、强制性产品认证证书等；

(4) 组织机构及职责；

(5) 生产/服务的流程、班次及轮班情况和季节性信息；

(6) 管理体系运行满三个月的证据（能源管理体系运行满 6 个月）；

(8) 其他需要提供的文件。

(1) Application for certification, including the name and address of the certification client, standards for certification basis, applied certification scope, number of personnel within the certification scope, and outsourced processes affecting the effectiveness of the management system;

(2) Documents evidencing legal status. Where the management system (QMS\EMS\OHSMS\ISMS\ITSMS\EnMS) covers multiple legal entities, documents evidencing legal status for each legal entity shall be provided;

(3) Administrative licensing documents, qualification certificates, CCC certificates and other documents as required by quality- related laws and regulations applicable to the applied certification scope;

(4) Organizational structure and responsibilities;

(5) Production/service processes, shift arrangements, shift- rotation conditions and seasonal- related information;

(6) Evidence that the management system has been implemented for no less

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than three months (six months for energy management system);

(7) Other documents to be submitted as required.

4.1.2.3 申请各管理体系认证需提供的特定资料 Specific information to be provided when applying for each management system certification

1) 质量管理体系 Quality management system

—若管理体系覆盖多场所活动，应附每个场所的地址、从事的主要活动、人数、法律地位证明文件的复印件 If the management system covers multi-site activities, a copy of the legal status of each site shall be attached;

—质量管理体系覆盖的产品或服务的质量标准清单 List of quality standards for products or services covered by the quality management system;

2) 环境管理体系 Environmental management system

—环保批复（按《建设项目分类管理名录》要求） Approval of environmental protection (according to the requirements of the Catalogue of Classified Management of Construction Projects);

—适用时，环境监测报告 environmental monitoring report, if applicable;

—所识别的重要环境因素信息以及任何适用的环境法规中的有关的法律义务 Information of identified significant environmental aspects and relevant legal obligations stipulated in any applicable environmental regulations

—一年内所发生的突发环境事件、与环境相关的行政处罚以及整改情况（适用时） Emergency environmental incidents happened in the past one year, environmental-related administrative penalties and rectification status (where applicable)

3) 职业健康安全体系 Occupational Health and Safety System

—识别的与过程有关的主要的危险源和 OHS 风险，不可接受危险源清单 List of identified main hazards and OHS risks related to the process and unacceptable hazards

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— 在过程中所使用的主要危险材料 Main hazardous materials used in the process

— 任何适用的 OHS 法规中的有关的法律义务 Relevant legal obligations in any applicable OHS regulations。

— 申请书应包含在组织场所内及组织场所外的工作人员的详细信息 The application shall contain details of the personnel working on and off the premises of the organization。

4) 食品安全管理体系 food safety management system

— 食品安全管理体系文件化信息（包括产品描述、流程图和过程描述、操作性前提方案计划、危害分析和关键控制点（以下简称 HACCP）计划等） Documented information of the food safety management system (including product description, flow chart and process description, operational prerequisite plan, hazard analysis and critical control point (HACCP) plan, etc.);

— 组织机构与职责说明 Description of organization and responsibilities;

— 加工生产线、季节性生产、HACCP 项目和班次的详细信息 details of processing lines, seasonal production, HACCP items and shifts;;

— 多场所清单、外包（含委托加工）情况说明（适用时） List of multiple sites and description of outsourcing (including entrusted processing) (when applicable);

— 生产、加工及经营的产品或提供的服务符合相关法律、法规、标准和规范的要求; The products produced, processed and operated, or the services provided, shall comply with the requirements of relevant laws, regulations, standards and specifications.

— 按照本规则规定的认证依据，建立和实施食品安全管理体系，且有效运行 3 个月以上; Establish and implement a food safety management system in accordance with the certification criteria specified in these rules, with effective operation for more than three months.

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—承诺遵守相关法律法规、认证机构要求及提供材料真实有效的自我声明 Self-declaration of commitment to comply with relevant laws and regulations and the requirements of the certification body, and to guarantee the authenticity and validity of the submitted materials.

—其他需要的文件 Other required documents.

5) HACCP 体系 HACCP system

—按照实施规则规定的认证依据，建立和实施了 HACCP 体系，且体系有效运行 3 个月以上。 Established and implemented the HACCP system in accordance with the certification criteria specified in the implementation rules, and the system has been in effective operation for more than three months.

—厂区位置图、平面图；加工车间平面图；产品描述、工艺流程图、工艺描述；危害分析单、HACCP 计划表；加工生产线、实施 HACCP 项目和班次的说明 Location map and plan of the plant area; plan of the processing workshop; product description, process flow diagram, process description; hazard analysis sheet, HACCP plan; Description of processing lines, HACCP implementation projects and shifts;

—食品添加剂使用情况说明，包括使用的添加剂名称、用量、适用产品及限量标准等 Description of the use of food additives, including the name, dosage, applicable products and limit standards of the additives used;

—生产、加工或服务过程中遵守适用的我国和进口国（地区）相关法律、法规、标准和规范清单；产品执行企业标准时，提供加盖当地政府标准化行政主管部门备案印章的产品标准文本复印件 List of applicable laws, regulations, standards and specifications of China and the importing country (region) in the process of production, processing or service; when the product implements the enterprise standard, the copy of the product standard text affixed with the record seal of the local government standardization administrative department shall be provided;

—生产、加工主要设备清单和检验设备清单 List of main production and processing equipment and list of inspection equipment;

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—多场所清单及委托加工情况说明（适用时） List of multiple sites and description of entrusted processing (when applicable);

—产品符合卫生安全要求的相关证据；适用时，提供由具备资质的检验机构出具的接触食品的水、冰、汽符合卫生安全要求的证据 Relevant evidence that the product meets the health and safety requirements; When applicable, provide evidence issued by a qualified inspection agency that the water, ice and steam in contact with food meet the hygienic and safety requirements;

—承诺遵守相关法律、法规、认证机构要求及提供材料真实性的自我声明 Commitment to comply with relevant laws, regulations, certification body requirements and self-declaration of the authenticity of the materials provided;

—其他需要的文件 Other required documents。

7) 能源管理体系 Environmental Management Systems

—能源种类、年度综合能耗、主要能源使用数量 Types of energy sources, annual comprehensive energy consumption, and quantities of significant energy uses

—申请认证范围所涉及的能源法律法规要求的行政许可文件、资质证书等 Administrative licensing documents, qualification certificates and equivalent documents as required by energy-related laws and regulations within the applied certification scope

8) 信息安全管理体 Information Security Management Systems

一年内所发生的与网络安全相关的行政处罚以及整改情况（适用时）

Cybersecurity-related administrative penalties occurring within the past one-year period and rectification status (where applicable)

4.1.2.4 申请服务认证的组提供资料 Information to be provided by the organization applying for service certification

A) 组织简介（包括组织销售方式的介绍） A) Introduction to the organization (including an introduction to how the organization sells)

B) 组织结构图 B) Organization chart

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C) 年检有效的企业营业执照和组织代码复印件C)Copies of the valid business license and organization code of the enterprise in the annual inspection

D) 有效期内的涉及国家法规强制要求的许可文件，如：服务/卫生/经营许可证等 License documents involving mandatory requirements of national laws and regulations within the validity period, such as service/hygiene/business license, etc;

E) 已获得质量/环境/职业健康安全及其他管理体系认证证书复印件Copies of quality/environment/occupational health and safety and other management system certificates have been obtained;

F) 申请服务活动的详细说明，主要服务流程以及涉及到的服务技术规范Detailed description of service application activities, main service processes and service technical specifications involved;

G) 与服务过程相关的法律、法规（国际、国家、地方、行业）清单及服务规范执行的标准清单List of laws and regulations (international, national, local and industrial) related to the service process and list of standards implemented by the service specification;

H) 批发零售服务网点清单List of wholesale and retail service outlets;

I) 现行有效的批发零售业服务管理体系文件及文件清单Documents and document list of the current effective wholesale and retail service management system;

J) 组织依据SB/T 10962-2013进行的自我评价报告Organize self-evaluation report according to SB/T 10962-2013。

4.1.3 各管理/服务体系认证申请评审 Review of management/service system certification application

4.1.3.1 各管理体系认证申请评审 Review of each management system certification application

4.1.3.1.1 体系认证申请评审人员对提交的认证申请及资料进行评审，并确认 The system certification application reviewer shall review the submitted certification application and data and confirm that:

1) 提供的申请资料是否齐全，资料内容是否真实、准确、完整 Whether the application materials provided are complete, and whether the contents of the materials are true, accurate and complete;

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2) 申请组织从事的活动是否符合相关法律法规的规定 Whether the activities of the applicant organization comply with the provisions of relevant laws and regulations;

3) 申请组织为达到管理目标建立了文件化的管理体系，体系运行满三个月 The applicant organization has established a documented management system to achieve the management objectives, and the system has been in operation for three months;

4) 申请组织是否已了解认证的相关要求 Whether the applicant organization has understood the relevant requirements for certification;

5) 申请组织所申请认证的领域及范围是否在认可的业务范围内 Whether the field and scope of certification applied by the applicant organization are within the scope of recognized business。

评审人员依《管理体系和服务认证业务范围管理程序》，确定认证申请的领域及范围是否在被 CNAS、IAS 认可的范围内。如果不在公司被认可的业务范围内，应向申请组织说明，并征求申请组织是否可以接收不带 CNAS、IAS 标志的认证证书，如果申请组织不接受，则业务终止，该组织可列为公司潜在客户 The assessors shall determine whether the field and scope of the certification application are within the scope recognized by CNAS in accordance with the Management Procedure for Business Scope of Management System and Service Certification. If it is not within the scope of the company's recognized business, it should explain to the applicant organization and ask whether the applicant organization can accept the certification certificate without CNAS logo. If the applicant organization does not accept it, the business will be terminated and the organization can be listed as a potential customer of the company。

4.1.3.1.2 识别和确定申请的业务范围的行业类别、子行业类别（FSMS）、复杂程度或风险等级；确认本公司是否具有相应的专业的审核人员 Identify and determine the industry category, sub-industry category (FSMS), complexity or risk level of

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the business scope applied for; confirm whether the company has corresponding professional auditors.

4.1.3.1.3 初步确认认证审核的范围。认证范围的描述应明确到具体的产品或服务，采用专业化的术语且不会误导申请组织的顾客及其他相关方 Scope of preliminary confirmation certification audit. The description of the scope of certification should be specific to the product or service, use specialized terminology, and not mislead the applicant organization's customers and other interested parties.

4.1.3.1.4 确定审核时间 determine the audit time

1) 合同评审人员依据《管理体系人日数规定》的规定确定申请认证 QMS、EMS、OHSMS、HACCP、FSMS、EnMS、ISMS、ITSMS 审核的人天数按 GB/T 27204 《合格评定 确定管理体系认证审核时间指南》标准中的方法制定文件化的确定审核时间的程序，对于 F/H 领域还应至少考虑行业类别、HACCP 项目、产品/服务实现过程的复杂程度、涉及食品安全方面的员工数、场所数量等因素 Contract review personnel shall determine the man- days for the certification audits of QMS, EMS, OHSMS, HACCP, FSMS, EnMS, ISMS and ITSMS in accordance with the Provisions on Man- days for Management Systems. A documented procedure for determining audit time shall be established in accordance with the methods specified in GB/T 27204, *Conformity assessment — Guidance for determining audit time for management system certification*. For F/H sectors, additional factors shall at least be taken into account, including industry category, HACCP programmes, complexity of product/service realization processes, number of employees involved in food safety- related activities, and number of sites.

2) 根据评审的结果确定审核一、二阶段的审核时间的划分。一般情况下一、二阶段的审核都需在申请认证组织的现场进行，第一阶段审核和第二阶段审核的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。对于 QMS、EMS、OHSMS 体系下列情况一阶段可不去

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现场审核，采用非现场审核的方式进行 Determine the time division of the first and second stages of the audit according to the results of the review. In general, the first and second stages of the audit should be carried out at the site of the organization applying for certification. For the following situations of QMS, EMS and OHSMS systems, the on-site audit may not be carried out in one stage, and the off-site audit may be carried out:

a) 申请组织已获本公司颁发的其他领域的有效认证证书，公司已对申请组织的管理体系有充分了解 The applicant organization has obtained other certificates issued by the company, and the company has fully understood the management system of the applicant organization;

b) 申请组织获得了其他经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核可以达到第一阶段审核的目的和要求 The applicant organization has obtained valid management system certification issued by other accredited certification bodies, and the purpose and requirements of the first-stage audit can be achieved through the review of its documents and materials.

除以上情况之外，第一阶段审核应在申请组织的生产经营或服务现场进行 In addition to the above circumstances, the first stage audit shall be conducted at the production, operation or service site of the applicant organization.

3) 食品安全管理体系/HACCP 体系，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 For the food safety management system/HACCP system, the first-stage audit shall be carried out at the site of the certification client. If the certification client has obtained other valid certificates of food safety related management system issued by the same certification body with HACCP principle as the core, and

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the certification body has a full understanding of the process and activities of the certification client, the first stage audit may not be conducted at the site of the certification client after the risk assessment by the certification body. However, the reasons for not conducting the audit on site should be documented and evidence should be provided that the objectives of the first phase of the audit have been fully achieved。

4.1.3.1.5 合同评审人员根据申请组织申请的认证范围、生产经营场所、员工人数、风险程度、组织复杂程度完成审核所需要的时间和其他影响认证活动的因素，综合确定是否受理认证申请。对符合要求且公司有能力满足认证要求的，受理认证申请；对不符合要求的由业务人员负责与申请方沟通补充完善，或者不受理认证申请 The contract review personnel shall comprehensively determine whether to accept the certification application according to the certification scope, production and operation site, number of employees, time required to complete the review and other factors affecting the certification activities. For those who meet the requirements and the company has the ability to meet the certification requirements, the certification application shall be accepted; For those who do not meet the requirements, the business personnel shall be responsible for communicating with the applicant to supplement and improve, or refuse to accept the application for certification。

4.1.3.1.6 对受理认证申请的项目，合同评审人员根据申请认证的不同体系，选择填写《审核方案策划表》中合同评审信息部分，连同相应资料一并提交认证申请评审复核人员进行复核批准 For the project for which the certification application is accepted, the contract review personnel shall fill in the contract review information part of the Review Scheme Planning Form according to the different systems for which the certification application is applied, and submit it together with the corresponding data to the certification application review personnel for review and approval。

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

4.1.3.2 服务认证申请评审 Review of service certification application

4.1.3.2.1 服务认证申请评审人员对提交的认证申请及资料进行评审 The service certification application reviewer shall review the submitted certification application and data:

A) 申请组织基本信息及其服务相关信息的充分性，了解组织特点，确定申请组织法律地位的合法性，必要时，通过公开网站验证提供信息的真实性和有效性，以确保双方在对认证要求的信息理解上的差异已得到解决 Sufficiency of the basic information of the applicant organization and the information related to its services, understanding the characteristics of the organization, determining the legitimacy of the legal status of the applicant organization, and, if necessary, verifying the authenticity and validity of the information provided through the public website, so as to ensure that the differences between the two parties in understanding the information required for certification have been resolved.

B) 根据《管理体系和服务认证业务范围管理程序》确定专业小类代码，确保公司的认证审查人员和认证决定人员的专业能力可以满足实施评价的要求。若是再认证申请，则评价申请要求与上一个认证周期的变更情况 According to the Management Procedure for Business Scope of Management System and Service Certification, determine the professional sub-category code to ensure that the professional competence of the company's certification review personnel and certification decision personnel can meet the requirements of the implementation evaluation. In the

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case of a recertification application, evaluate the changes in the application requirements from the previous certification cycle.

4.1.3.2.2 对符合要求且公司有能力满足认证要求的，受理认证申请；对不符合要求的由业务人员负责与申请方沟通补充完善，或者不受理认证申请 For those who meet the requirements and the company has the ability to meet the certification requirements, the certification application shall be accepted; For those who do not meet the requirements, the business personnel shall be responsible for communicating with the applicant to supplement and improve, or refuse to accept the application for certification.

4.1.3.2.3 对受理认证申请的项目，评审人员根据申请认证的不同项目，选择填写《审查方案策划表》中合同评审信息部分，连同相应资料一并提交认证申请评审复核人员进行复核批准 For the project accepting the certification application, the review personnel shall fill in the contract review information part of the Review Scheme Planning Form according to the different projects applying for certification, and submit it together with the corresponding data to the review personnel of the certification application for review and approval.

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

4.1.3.3 产品认证申请评审 Product Certification Application Review

4.1.3.3.1 产品认证申请评审人员对提交的认证申请及资料进行评审 The product certification application reviewers shall review the submitted certification application and supporting documents.

A) 申请组织基本信息及其产品相关信息的充分性，了解组织申请认证的产品的特点，确

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定申请组织法律地位的合法性，必要时，通过公开网站验证提供信息的真实性和有效性，以确保双方在对认证要求的信息理解上的差异已得到解决 The adequacy of the applicant organization' s basic information and product-related information shall be verified; the characteristics of the products for which the organization applies for certification shall be understood, and the legality of the applicant organization' s legal status shall be confirmed. When necessary, the authenticity and validity of the provided information shall be verified through official public websites, so as to ensure that any discrepancies in the understanding of certification requirements between both parties have been resolved.

B) 根据《有机产品目录》产品确定专业，确保公司的认证审查人员和认证决定人员的专业能力可以满足实施评价的要求。若是再认证申请，则评价申请要求与上一个认证周期的变更情况 Determine the professional discipline according to the **Catalogue of Organic Products**, and ensure that the professional competence of the Company' s certification reviewers and certification decision-makers meets the requirements for conducting evaluation. For recertification applications, evaluate the application requirements as well as any changes occurred in the previous certification cycle.

4.1.3.3.2 对符合要求且公司有能力满足认证要求的，受理认证申请；对不符合要求的由业务人员负责与申请方沟通补充完善，或者不受理认证申请 For those who meet the requirements and the company has the ability to meet the certification requirements, the certification application shall be accepted; For those who do not meet the requirements, the business personnel shall be responsible for communicating with the applicant to supplement and improve, or refuse to accept the application for certification.

4.1.3.3.3 对受理认证申请的项目，评审人员根据申请认证的不同项目，选择填写《审查方案策划表》中合同评审信息部分，连同相应资料一并提交认证申请评审复核人员进行

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复核批准 For the project accepting the certification application, the review personnel shall fill in the contract review information part of the Review Scheme Planning Form according to the different projects applying for certification, and submit it together with the corresponding data to the review personnel of the certification application for review and approval.

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

4.1.4 报价 Quotation

4.1.4.1 业务人员根据公司市场政策、申请组织提交的管理体系认证申请材料，评审的结果向申请组织提出管理体系/服务认证报价单 The business personnel shall submit the quotation for management system/service certification to the applying organization according to the company’s market policy, the application materials for management system certification submitted by the applying organization, and the review results.

4.1.4.2 认证审核报价单，经市场拓展部经理批准后方能报价给客户，否则，视为无效的报价单 The quotation shall be certified and reviewed, and the quotation shall be submitted to the customer only after being approved by the manager of the Market Development Department, otherwise, it shall be deemed as an invalid quotation.。

4.1.4.3 对于申请方招标的项目，由市场拓展部组织编制投标文件，并进行投标 For the bidding project of the applicant, the Market Development Department shall organize the preparation of the bidding documents and conduct the bidding.

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4.1.5 签订认证合同 Sign the certification contract

4.1.5.1 签订认证合同的时机 Timing of signing the certification contract

合同评审人员完成合同评审并经合同评审复核人员批准后，业务人员与申请认证的组织签订认证合同 After the contract reviewer completes the contract review and is approved by the contract reviewer, the business personnel shall sign the certification contract with the organization applying for certification.

4.1.5.2 申请组织接受报价后，业务人员负责准备合同并就合同内容与客户进行详细沟通，签订具有法律效力的书面认证合同 After the application organization accepts the quotation, the business personnel shall be responsible for preparing the contract and communicating with the customer in detail on the contents of the contract, and signing a written certification contract with legal effect.

4.1.5.3 认证合同至少包括以下内容 The certification contract shall at least include the following contents:

1) 申请组织获得认证后持续有效运行管理体系/服务系统的承诺 The commitment of the applicant organization to continuously and effectively operate the management system/service system after obtaining the certification;

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

3) 申请组织承诺获得认证后发生以下情况时，应及时向认证机构通报 The applicant organization shall notify the certification authority in a timely manner in case of any of the following circumstances after the certification:

① 客户及相关方有重大投诉 Customers and related parties have major complaints;

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② 生产的产品或服务被执法监管部门认定不符合法定要求 The products or services produced are determined by the law enforcement and supervision departments not to meet the statutory requirements;

③ 发生产品或服务的质量、环境、安全、能源事故 Quality, environment, safety and energy accidents of products or services;

④ 相关情况发生变更，包括：法律地位、生产经营状况、组织状态或所有权变更；取得的行政许可资格、强制性认证或其他资质证书变更；法定代表人、最高管理者、管理者代表变更；生产经营或服务的工作场所变更；管理体系覆盖的活动范围变更；管理体系和重要过程的重大变更等 Change of relevant conditions, including: change of legal status, production and operation status, organization status or ownership; change of administrative license qualification, compulsory certification or other qualification certificates; change of legal representative, top manager and management representative; change of workplace for production, operation or service; change of scope of activities covered by the management system; Major changes in management system and important processes, etc.

⑤ 出现影响管理体系运行的其他重要情况。Other important conditions affecting the operation of the management system.

4) 申请组织承诺获得认证后正确使用认证证书、认证标志和有关信息；不得擅自利用管理体系认证证书和相关文字、符号误导公众认为其产品或服务通过认证 The applicant organization promises to use the certification certificate, certification mark and relevant information correctly after obtaining the certification; Do not use management system certification certificates and related words and symbols to mislead the public into believing that their products or services have passed the certification.

5) 拟认证的管理体系覆盖的生产或服务的活动范围。或拟认证的服务认证覆盖的服务的活动范围 Scope of production or service activities covered by the

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management system to be certified. Or the scope of activities of the services covered by the certification of the services to be certified.

6) 在认证审核及认证证书有效期内各次监督审核中, 认证机构和申请组织各自应当承担的责任、权利和义务 The respective responsibilities, rights and obligations of the certification body and the applicant organization in the certification audit and each supervision audit within the validity period of the certification certificate.

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

4.2 再认证的申请与评审 Application and review of recertification

4.2.1 持有本公司证书且符合下列条件之一的可以按照再认证评审 Those who hold the certificate of the company and meet one of the following conditions can be evaluated according to the re-certification:

1) 申请时间在本机构所颁发的证书有效期内, 在认证周期内完成两次监督审核且证书状态为正常, 预计再认证现场审核所引发的相应的纠正措施的完成时间也应在该证书到期前完成。The application time is within the validity period of the certificate issued by the organization, two supervision audits are completed within the certification cycle and the certificate status is normal, and it is expected that the completion time of the corresponding corrective measures caused by the on-site audit of re-certification shall also be within the validity period of the certificate.

2) 获证组织的证书到期后, 只能按初次认证受理, 不再受理再认证。Where a certified organization's certificate has expired, only initial certification application shall be accepted; recertification application shall not be accepted any longer .

4.2.2 再认证的获证组织, 在证书到期前的三个月, 向本公司提交《管理体系认证申请

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书》/《服务认证申请书》/《产品认证申请书》，包括即将到期的认证证书在内的相关资料 If special treatment is required upon approval.

4.2.2 Re-certified organizations shall submit the Management System Certification Application/Service Certification Application/Product Certification Application to the company three months before the expiration of the certificate, including the relevant information of the certification certificate that will expire soon.

4.2.3 技术审核部申请评审人员评审获证组织提交的资料，在评审中要特别关注获证组织体系有无变更，并按初次审核/初次审查需确认的内容进行评审/评价，依据评审获得的信息确定审核时间。再认证的审核时间执行公司《审核人日数规定》的相关规定 The review application personnel of the Technical Audit Department shall review the materials submitted by the certified organization, pay special attention to whether there is any change in the certified organization system during the review, review/evaluate according to the contents to be confirmed in the initial review/initial review, and determine the review time according to the information obtained from the review. The audit time of re-certification shall be subject to the relevant provisions of the Company's Regulations on Number of Audit Personnel and Days.

4.2.4 各管理体系的再认证：在管理体系标准及获证组织的内部和外部环境无重大变更时，再认证审核可省略第一阶段审核。其中 FSMS 和 HACCP 有以下要求：当获证组织的食品安全管理体系/HACCP 体系、组织结构或食品安全管理体系运作环境（如区域、法律法规、食品安全标准等）有重大变更，并经评价需要时，再认证需实施第一阶段审核 Re-certification of each management system: when there is no significant change in the management system standard and the internal and external environment of the certified organization, the first stage of the re-certification audit can be omitted. The FSMS has the following requirements: when the food safety management system, organizational structure or the operating environment of

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the food safety management system (such as regions, laws and regulations, food safety standards, etc.) of the certified organization have significant changes and are required by the evaluation, the first phase of the re-certification audit shall be carried out.

4.2.5 服务认证的再评价：当获证组织的服务管理体系及获证组织的内部和外部环境无重大变化时，再评价可省略文件评价过程，可直接进行现场评价。现场评价时间不应少于初始现场评价人日的 2/3。特殊情况下，可适时合理增加人日数，说明充分的增加理由。

若获证组织的服务管理体系及获证组织的内部和外部环境发生重大变化时，再评价从文件评价开始 Re-evaluation of service certification: When there is no significant change in the service management system of the certified organization and the internal and external environment of the certified organization, the re-evaluation can omit the document evaluation process and directly conduct on-site evaluation. The on-site evaluation time shall not be less than 2/3 of the person-day of the initial on-site evaluation. Under special circumstances, the number of person-days can be increased reasonably in a timely manner, and sufficient reasons for the increase can be explained. In case of significant changes in the service management system of the certified organization and the internal and external environment of the certified organization, the re-evaluation shall start from the document evaluation.

4.2.6 合同评审人员填写《审核方案策划表》/《审查方案策划表》中合同评审信息部分，经评审复核人员复核批准，评审复核通过后，业务人员与获证组织签订再认证合同 The contract review personnel shall fill in the contract review information part of the Review Scheme Planning Form/Review Scheme Planning Form, and the business personnel shall sign the re-certification contract with the certified organization after the review and approval of the review personnel.

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4.3 转换机构的认证申请与评审 Certification application and review of the conversion organization

4.3.1 转换条件 Conversion conditions

4.3.1.1 转换仅限于现行有效认证证书。已被其他认证机构暂停或正在接受暂停、撤销处理的认证证书以及已失效的认证证书，不得接受转换申请 Conversion is limited to the current valid certificate. Certification certificates that have been suspended by other certification bodies or are being suspended or revoked, as well as those that have become invalid, shall not be accepted for conversion。

4.3.1.2 被执法监管部门责令停业整顿或列入“黑名单”的、被发证的认证机构撤销证书的，除非该组织进行彻底整改，导致暂停或撤销认证证书的情形已消除，否则不应受理其认证申请 For those who are ordered by the law enforcement and regulatory authorities to suspend business for rectification or are included in the “blacklist”, or whose certificates are revoked by the issuing certification body, unless the organization has made a thorough rectification and the circumstances leading to the suspension or revocation of the certification certificate have been eliminated, the application for certification shall not be accepted。

4.3.1.3 由 CNAS、IAS 认可的认证证书的获证组织有下列情况，且转换申请得到 CCAA 的批准，可申请转换证书 An organization with a certificate recognized by CNAS may apply for a certificate of conversion under the following circumstances, and the application for conversion has been approved by CCAA:

- a) 原发证机构在对获证组织实施认证的过程中，存在违反相关法律法规、认可规范、行业自律规范的行为，且获证组织可以举证的 The original license-issuing organ violates relevant laws and regulations, accreditation norms and industry self-discipline norms in the process of implementing certification for the licensed organization, and the licensed organization can provide evidence;

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b) 原发证机构在证书有效期内受到了行政监管部门、认可机构、行业协会的处罚 The original license-issuing organ has been punished by the administrative supervision department, the accreditation body and the industry association within the validity period of the certificate;

c) 转换证书不造成原证书的失效，获证组织同时持有多张证书，继续接受原认证机构对原证书的监督 The conversion of the certificate shall not cause the invalidation of the original certificate, and the certificated organization shall hold multiple certificates at the same time and continue to accept the supervision of the original certification body on the original certificate;

d) 持有多个认证机构证书的获证组织，需要缩减认证机构数量时 When the number of certification bodies needs to be reduced for certified organizations holding multiple certification body certificates;

e) 获证组织不满意原认证机构的服务，或根据获证组织发展需要确需变更认证机构。 The certified organization is not satisfied with the service of the original certification body, or the certification body needs to be changed according to the development needs of the certified organization

4.3.2 证书转换申请 Certificate conversion application

满足 4.3.1 转换条件的获证组织向本公司提交《认证证书转换申请表》，同时还需提交以下资料 The certified organization that meets the conversion conditions in 4.3.1 shall submit the Application Form for Conversion of Certification Certificate to the company, and the following materials shall also be submitted:

a) 《管理体系认证申请书》/《服务认证申请书》/《产品认证申请书》及相关资料 Management System Certification Application/Service Certification Application/Product Certification Application and relevant materials;

b) 行政许可文件 Administrative licensing documents;

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c) 原认证证书复印件 Copy of the original certificate;

d) 原证书在当前有效的认证周期内，历次（初审/再认证、两次监督审核/审查）接受第三方认证审核的审核报告，如果不能获得相应审核报告、或逾期未进行监督，则应将该客户作为新客户对待 The original certificate shall accept the audit report of the third party's certification audit within the current effective certification cycle (preliminary examination/re-certification, two supervision audits/reviews). If the corresponding audit report cannot be obtained or the supervision is not carried out within the time limit, the customer shall be treated as a new customer;

e) 申请转换的原因说明（需加盖公章）Explanation of reasons for applying for conversion (official seal is required)。：

4.3.3 证书转换评审 Certificate conversion review

4.3.3.1 评审人员在接到申请组织提交的《认证证书转换申请表》及相应资料后，确认 After receiving the Application Form for Certificate Conversion and the corresponding materials submitted by the applicant organization, the assessors shall confirm that:

1) 提交的资料是否齐全、完整、有效 Whether the submitted materials are complete, complete and valid;

2) 带有CNAS、IAS标识的证书，转换申请是否得到CNCA、IAS批准 For the certificate with CNAS mark, whether the conversion application has been approved by CNCA;

3) 带有CNAS、IAS标识的证书，被认证领域及专业范围是否在已被本机构CNAS、IAS认可的认证范围之内 Whether the certified field and professional scope of the certificate with CNAS logo are within the certification scope approved by CNAS of the institution;

4) 要求转换的原因是否合理 Whether the reason for requiring conversion is reasonable;

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5) 确定转换评审的时间。对申请转换方的评审包括文件评审和现场访问Determine the time of conversion review. The review of the applicant for conversion includes document review and site visit.

具体执行《认证证书转换作业指导书》的规定。1) ；

It shall be subject to the provisions of the Operation Instructions for Certificate Conversion

4.3.3.2 评审人员将评审结果记录在《认证证书转换申请评审表》中The review personnel shall record the review results in the Certification Certificate Conversion Application Review Form.

4.3.3.3 评审人员将通过认证申请评审的资料交认证申请评审复核人员复核，批准后交运营部审核方案管理人员安排评审The review personnel shall submit the materials that have passed the certification application review to the certification application review personnel for review, and then submit them to the review scheme management personnel of the Operation Department for review after approval.

4.4. 各管理体系特殊审核的申请与评审 Application and review for special audit of each management system

4.4.1 特殊审核包括：扩大/缩小认证范围、暂停后恢复审核、组织规模变化、地址变更等情况 Special audit includes: expansion/reduction of certification scope, resumption of audit after suspension, change of organization scale, change of address, etc.

4.4.2 获证组织向本公司提交证书变更申请书或证书变更申请表，说明审核、证书变更的具体内容，并提交相应资料 The certificated organization shall submit the certificate change application or certificate change application form to the company, explain the specific contents of the audit and certificate change, and submit the corresponding materials:

1) 名称变更: 需提供相应工商管理部门的“变更核准通知书”和新的营业执照或相应的证明文件 Name change: the “Change Approval Notice” issued by the corresponding industrial and commercial administration department and the new

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business license or corresponding supporting documents shall be provided;

2) 地名变更: 提交相应的证明文件和资质申请文件 Place name change: submit the corresponding certification documents and qualification application documents;

3) 地址变更: 提交营业执照或相应的证明文件。对于环境管理体系认证的, 需提交新地址的由当地环保部门出具的“环境影响批复意见” Change of address: submit the business license or corresponding supporting documents. For environmental management system certification, the “Environmental Impact Approval Opinion” issued by the local environmental protection department for the new address shall be submitted

4.4.3 评审人员在接到获证组织提交的证书变更申请书或申请表及相应资料后, 确认 After receiving the certificate change application or application form and corresponding materials submitted by the certificated organization, the evaluation personnel shall confirm that:

1) 提交的资料是否齐全、完整、有效 Whether the submitted materials are complete, complete and valid;

2) 对扩大认证范的申请, 需确认扩大的范围是否符合法律法规的要求, 专业是否在被CNAS、IAS认可的认证范围之内, 公司是否有能力满足认证要求 For the application for expanding the scope of certification, it is necessary to confirm whether the expanded scope meets the requirements of laws and regulations, whether the specialty is within the scope of certification recognized by CNAS, and whether the company has the ability to meet the requirements of certification;

3) 确认审核时间 Confirm the audit time:

—企业名称变更、组织机构代码变更、地名变更等情况可不用安排现场审核, 有评审人员对资料确认无误即可 It is not necessary to arrange on-site audit for the change of enterprise name, organization code and place name, and the data can be confirmed by the reviewers;

—扩大认证范围的审核时间执行《管理体系审核人日数规定》的相关规定 The audit time for expanding the scope of certification shall be subject to the relevant provisions of the Regulations on the Number of Persons and Days for Management System Audit;

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一地址变更，必须进行现场审核，现场审核可结合监督审核进行，若需独立审核，审核时间应根据具体情况确定（可参照监督审核的时间），但不得少于1人天 For address change, on-site audit must be carried out. On-site audit can be carried out in combination with supervision audit. If independent audit is required, the audit time shall be determined according to the specific situation (referring to the time of supervision audit), but it shall not be less than one person day.。

4.5 服务认证特殊审查的申请与评审 Application and review for special review of service certification

4.5.1 扩大认证范围 Expanding the scope of certification

扩大认证范围的服务认证的申请，受理条件等同于初次申请条件。对涉及扩大部分实施现场审查后，经技术委员会重新审议，审批条件和程序等同于初次审查的认证条件和程序 The conditions for acceptance of applications for service certification with expanded scope of certification are the same as those for initial application. After the on-site review of the expanded part, the approval conditions and procedures are the same as the certification conditions and procedures of the initial review after the reconsideration of the technical committee。

4.5.2 缩小认证范围 Narrowing the scope of certification

当获证组织发生变动，或在部分认证范围内无法满足保持认证规定要求时，可由获证组织申请或由审查组建议缩小认证范围 When the certified organization changes or fails to meet the requirements for maintaining the certification in part of the certification scope, the certified organization may apply or the review team may propose to reduce the certification scope。

现场审查期间，审查组应与获证组织对拟缩小范围进行确认，经技术委员会审议后缩小认证范围 During the on-site review, the review team shall confirm with the certified organization the scope to be narrowed, and the scope of

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certification shall be narrowed after deliberation by the technical committee.

如果获证组织未能在深大国际认证机构规定的时限内解决造成暂停的问题，深大国际认证应缩小其认证范围 If the certified organization fails to resolve the issue that caused the suspension within the time limit set by SZIA, SZIA shall reduce the scope of its certification.

4.5.3 暂停认证资格 Suspension of qualification

出现下列情况之一时，暂停认证资格 In case of any of the following circumstances, the certification qualification shall be suspended

- a. 持有的行政许可证明、资质证书、强制性认证证书等过期失效，重新提交的申请已被受理但未换证的 The administrative license certificate, qualification certificate and compulsory certification certificate held are expired, and the resubmitted application has been accepted but not renewed;
- b. 在前后两次认证审查中，同样类型的严重不合格重复出现的 Repeated occurrence of the same type of serious nonconformities in the two certification reviews;
- c. 对于认证审查中提出的不合格或其他环节发现组织出现影响服务提供正常有效运行的情况，未在深大国际认证规定的时间内完成纠正措施和（或）纠正的 Failing to complete the corrective measures and/or correction within the time specified by Shenzhen University International Certification for the nonconformity raised in the certification review or the situation affecting the normal and effective operation of service provision found in other links of the organization;
- d. 被认证监管部门发现存在问题或被投诉，经调查存在问题，但尚未构成撤销认证资格的 The certification supervision department has found problems or complaints, and there are problems after investigation, but it has not yet constituted the revocation of certification qualification;
- e. 获证组织的产品、活动出现重大事故，经确认是获证组织造成的 The products and

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activities of the certified organization have major accidents, which are confirmed to be caused by the certified organization;

f. 被有关执法监管部门责令停业整顿或暂停产品生产或服务提供资格的 Being ordered by the relevant law enforcement and supervision departments to suspend business for rectification or suspend the qualification of product production or service provision;

g. 获证组织向深大国际认证提供的与认证有关的组织信息或相关证据严重失实的 The organization information or relevant evidence related to the certification provided by the certified organization to Shenzhen University International Certification is seriously untrue;

h. 获证组织未按《认证合同》规定按期交纳认证费用的 The certified organization fails to pay the certification fee on schedule in accordance with the provisions of the Certification Contract;

i. 获证组织不能在规定的时限内接受监督检查或再认证审查的 The certified organization fails to accept the supervision and inspection or re-certification review within the prescribed time limit;

j. 获证组织发生对服务造成影响的重大事故、重大投诉及相关变更未及时报告深大国际认证的 The certified organization fails to report the major accidents, major complaints and related changes that affect the service to Shenzhen University International Certification in a timely manner;

k. 使用国际互认标志，错误使用认证证书、认证标志和/或认可标志 The use of international mutual recognition marks and the incorrect use of certification certificates, certification marks and/or accreditation marks;

l. 不接受深大国际认证非定期监督审查和/或认证行业管理部门监督检查的 Does not accept the irregular supervision and examination of Shenzhen University International Certification and/or the supervision and inspection of the certification industry management department;

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m. 获证组织主动请求暂停的 The certified organization takes the initiative to request suspension;

n. 其他应当暂停认证证书的 Other certification certificates shall be suspended.

暂停时间不超过 6 个月，深大国际认证将向获证组织发出《暂停资格通知书》，同时向行业管理部门上报相关信息并向社会公告。获证组织应按通知书规定的有关要求执行，在暂停期间，获证组织的服务认证暂时无效 If the suspension period does not exceed 6 months, Shenzhen University International Certification will issue a Notice of Suspension of Qualification to the certified organization, and report relevant information to the industry management department and announce it to the public. The licensee shall comply with the relevant requirements set out in the notice. During the period of suspension, the service certification of the licensee shall be suspended.

4.5.4 恢复认证注册资格 Recover the qualification of certification and registration

获证组织接到《暂停资格通知书》后，在规定时间内完成以上情况的纠正和/或纠正措施，经深大国际认证验证，必要时，经制定的审查组现场验证、证明已满足要求，将恢复其认证注册资格 After receiving the Notice of Suspension of Qualification, the certified organization shall complete the correction and/or corrective measures of the above situation within the specified time, and shall resume its certification and registration qualification after verification by Shenzhen University International Certification and, if necessary, on-site verification by the designated review team to prove that it has met the requirements.

4.5.5 撤销认证注册资格 Revocation of certification and registration qualification

出现下列情况之一时，撤销认证注册资格 In case of any of the following

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circumstances, the certification and registration qualification shall be revoked

a. 在暂停认证资格期限内，未就存在问题采取有效纠正措施的（包括持有的行政许可证明、资质证书、强制性认证证书等已经过期失效但申请未获批准）During the period of suspension of certification qualification, no effective corrective measures have been taken for the existing problems (including the administrative license certificate, qualification certificate, compulsory certification certificate, etc., which have expired but the application has not been approved);

b. 对获证组织投诉，经调查存在严重问题，构成撤销认证资格的 The complaint against the certified organization has serious problems after investigation, which constitutes the revocation of certification qualification;

c. 发生了重大质量问题或其他与服务质量相关严重违法违规行为，经执法监管部门确认时获证组织违规造成的 Major quality and safety problems or other serious violations of laws and regulations related to service quality occur, which are caused by violations of regulations by certified organizations when confirmed by law enforcement and supervision departments;

d. 被注销或撤销法律地位证明文件的，或被相关行政部门撤销服务提供资格的，或其他严重违法法律法规行为的 The legal status certificate is cancelled or revoked, or the service provider qualification is revoked by the relevant administrative department, or other serious violations of laws and regulations;

e. 在深大国际认证非定期监督审查，认证行业管理部门监督检查中未发现存在严重问题，构成撤销认证资格的；或拒绝配合深大国际认证、认证行业管理部门实施的监督检查，或者对相关事项的询问和调查提供了虚假材料或信息的 Serious problems are found in the irregular supervision and examination of Shenzhen University International Certification and the supervision and inspection of the

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certification industry management department, which constitutes the revocation of the certification qualification; Or refuse to cooperate with the supervision and inspection carried out by the international certification and certification industry management departments of Shenzhen University, or provide false materials or information for the inquiry and investigation of relevant matters;

f. 不按相关规定正确引用和宣传获得的认证信息，造成严重影响或后果，或者认证机构已要求其纠正但超过 2 个月仍未纠正的 Failure to correctly quote and publicize the obtained certification information in accordance with relevant regulations, resulting in serious impact or consequences, or the certification body has required it to correct but has not corrected for more than 2 months;

g. 获证组织已不具备运行条件的 The certified organization does not have the operating conditions;

h. 被国家质量监督检验检疫总局列入质量信用严重失信企业名单的 Listed by the General Administration of Quality Supervision, Inspection and Quarantine of the People's Republic of China in the list of enterprises with serious quality credit dishonesty;

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

j. 因特殊原因，获证组织取得与原认证范围相同的证书，在颁发新的认证证书时，原有效证书予以撤销 If the certificated organization obtains a certificate with the same scope as the original certification due to special reasons, the original valid certificate shall be revoked when a new certification certificate is issued;

k. 其他应当撤销认证证书的。 Other certification certificates shall be revoked. 当获证组织部分认证范围无法满足规定要求时，可撤销部分认证范围；当获证组织全部

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认证范围无法满足规定要求时，撤销全部认证范围。深大国际认证向获证组织发出《撤销认证资格通知书》，并予以公告形式公布，组织应交回认证证书。被撤销的认证证书信息，深大国际认证将及时上报至国家认监委、国家认可委及中国认证认可协会网站；在公司网站上将同步公示被撤销的组织目录 When part of the certification scope of the certified organization fails to meet the specified requirements, part of the certification scope may be revoked; When the whole certification scope of the certified organization fails to meet the specified requirements, the whole certification scope shall be revoked. Shenzhen University International Certification shall issue the Notice of Cancellation of Certification Qualification to the certified organization and publish it in the form of announcement, and the organization shall return the certification certificate. The revoked certification information will be reported to the websites of the CNCA, the CNAC and the China Certification and Accreditation Association in a timely manner, and the revoked organization directory will be publicized on the company's website.

4.5.6 更换认证证书 Replacement of certificate

出现下列情形之一时，重新更换认证证书 In case of any of the following circumstances, the certification certificate shall be replaced

- a. 认证标准转换 Conversion of certification standards;
- b. 深大国际认证名称、认证标志发生变化 The name and certification mark of Shenzhen University International Certification are changed;
- c. 认可标志从无到有或发生变化 The approval mark has been created or changed;
- d. 组织名称、地址等认证证书信息发生变化 The organization's name, address and other certification information have changed

在认证标准变更的情况下，要安排进行审核/审查，审核/审查与认证决定通过后，重新换证，审核/审查可结合年度监督或再认证进行 When the certification standard is changed, the audit/review shall be arranged. After the audit/review and certification decision are passed, the certificate shall be renewed. The audit/review can be carried out in conjunction with the annual supervision or re-certification.

在获证组织体系认证范围变更时，获证组织应及时通知深大国际认证，如变更的发生对体系产生了较严重的影响时，则需要重新进行审核/审查，审核/审查与认证决定通过后重新换证 When the system certification scope of the certified organization

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is changed, the certified organization shall inform Shenzhen University International Certification in a timely manner. If the change has a serious impact on the system, it is necessary to conduct a new audit/review. After the audit/review and certification decision is passed, the certificate shall be renewed.

4.6 组织提交的各类证明文件的复印件应是在原件上复印的，并经复印件提供者签章（签字）认可其与原件一致 The copies of all kinds of certification documents submitted by the organization shall be copied on the original, and shall be confirmed to be consistent with the original by the signature (signature) of the copy provider.

4.7 认证申请评审记录 Review record of certification application

评审人员填写《认证申请评审表》、《认证证书转换申请表》、《证书变更申请》中有关认证申请评审的内容。记录填写应清晰、完整、准确 The review personnel shall fill in the contents related to the review of the certification application in the Certification Application Review Form, the Certification Certificate Conversion Application Form and the Certificate Change Application Form. The records shall be clear, complete and accurate.

4.8 客户资料移交和信息传递 Handover of customer data and information transfer

4.8.1 认证申请评审结束后，业务人员在数据库中登录客户相关信息，将客户资料、体系/服务认证申请书、体系/服务认证申请评审表等移交给技术审核部审核方案管理人员安排审核/审查。当安排不能满足审核/审查委托方要求时，市场拓展部应与申请组织协商，直至达成一致意见为止 After the certification application review is completed, the business personnel shall log in the relevant information of the customer in the database, and hand over the customer information, system/service certification application, system/service certification

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application review form, etc. To the audit scheme management personnel of the Technical Audit Department for audit/review. When the arrangement fails to meet the requirements of the audit/review client, the Market Development Department shall negotiate with the applicant organization until an agreement is reached.

4.8.2 现场审核/审查时发现组织申请的范围、专业类别等信息与认证申请评审不一致时，审核组长应及时与业务人员及评审人员沟通，评审人员根据审核组提供的信息重新进行评审，并将重新评审的结果传递到技术审核部 If the scope, professional category and other information of the organization application are found to be inconsistent with the certification application review during the on-site audit/review, the audit team leader shall communicate with the business personnel and reviewers in a timely manner, and the reviewers shall re-review according to the information provided by the audit team and transmit the re-review results to the Technical audit department.

4.9 认证合同 Certification Contract

4.9.1 公司总经理或授权人与客户签订《认证合同》，一式两份，一份交委托人，一份由公司归档 The general manager or authorized person of the company shall sign the Certification Contract with the customer in duplicate, one for the client and the other for the company to file.

4.9.2 合同评审人员应对每一份认证合同进行编号，以便于归档和查阅管理 The contract reviewer shall number each certification contract for the convenience of filing and reference management.

5. 相关记录 Relevant records

认证合同 Certification contract