

 深圳市深大国际认证有限公司 SHENDA INTERNATIONAL CERTIFICATION CO., LTD		版次 Edition	B/5
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管理体系和服务认证注册规则

Management System and Service Certification Registration Rules

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编 制	黄 美 秀 Huangmeixiu	日期 Date:	2023 年 12 月 21 日 December 21 , 2023
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文 件 会 签 Document countersigning				
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
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序号 Serial number	修订日期 Revision Date	修订内容 Revisions	修订人 Revised by	批 准 approve
1	2015/11/25	删除能源管理体系的管理要求。Delete the management requirements for energy management system.	吴雅玲 Wuyaling	尹雪晨 Yinxuechen
2	2016/5/25	增加食品安全管理体系的管理要求。Increase management requirements for food safety management system.	吴雅玲 Wuyaling	尹雪晨 Yinxuechen
3	2018/1/3	统一格式，增加服务认证的内容。Unify the format and add content for service authentication.	林泽航 Linzehang	尹雪晨 Yinxuechen
4	2019/11/26	删除与其他程序文件要求重叠部分，改为文件引用 Removed overlapping parts with other program file requirements and replaced them with file references	姚菊芳 Yaojufang	尹雪晨 Yinxuechen
5	2023/12/21	更新引用文件 Update reference files	黄美秀 Huangmeixiu	尹雪晨 Yinxuechen

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1 范围 Scope

1.1 为确保深圳市深大国际认证有限公司（以下简称深大认证）对认证注册工作的公正、有效，满足国家有关法律法规、相关国际标准和相关国际组织的要求，特指定本文件。to ensure that SHENZHEN SHENDA INTERNATIONAL CERTIFICATION CO.,LTD. (hereinafter referred to as SDIC) conducts certification and registration work fairly and effectively and meets the requirements of relevant national laws and regulations , relevant international standards and relevant international organizations .

1.2 本文件规定了认证注册的程序，向所有人公开。适用于质量/环境/职业健康安全/食品安全管理体系认证和服务认证注册。This document specifies the certification registration procedures and is open to everyone. It is applicable to quality/environment/occupational health and safety/food safety management system certification and service certification registration.

2 引用文件 References

CNAS-CC01:2015 《管理体系认证机构要求》 CNAS-CC01:2015 "Requirements for Management System Certification Bodies"

CNAS-CC02:2013 《产品、过程和服务认证机构要求》 CNAS-CC02:2013 "Requirements for Product, Process and Service Certification Bodies"

CNAS-CC180:2023 《食品安全管理体系认证机构要求》 CNAS-CC180:2023 "Requirements for Food Safety Management System Certification Bodies"

3 术语和定义 Terms and Definitions

引用文件中界定的术语和定义适用于本文件。The terms and definitions defined in the referenced documents apply to this document.

4 总则 General

4.1 深大认证依据国家相关法律法规，国际和国家标准、规范等开展对申请

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人的认证活动。SDIC carries out certification activities for applicants in accordance with relevant national laws and regulations, international and national standards and specifications.

4.2 深大认证对认证工作遵循客观公正、科学规范、权威信誉和非歧视的原则。SDIC adheres to the principles of objectivity, fairness, scientific norms, authority, credibility and non-discrimination in its certification work.

4.3 深大认证不对申请认证的申请人提供可能影响公正性的咨询或其他服务。SDIC does not provide consulting or other services that may affect the impartiality of applicants for certification.

4.4 在认证申请或初次认证审核或审查的任何阶段，若有证据表明申请人存在欺诈行为、故意提供虚假信息或隐瞒信息，深大认证将不予受理或终止认证过程。If there is evidence that the applicant has committed fraud, intentionally provided false information or concealed information at any stage of the certification application or initial certification audit or review, SDIC will not accept the application or terminate the certification process.

4.5 深大认证对申请认证的申请人的申请材料内容、认证审核或审查信息和其他非公开信息保守秘密。在法律法规要求时，深大认证有责任将申请人的相关信息向有关部门通报。SDIC keeps confidential the application materials, certification review or examination information and other non-public information of the applicant. When required by laws and regulations, SDIC has the responsibility to report the relevant information of the applicant to the relevant departments.

4.6 深大认证通过《审核过程管理程序》和（或）《服务认证审查过程管理程序》对申请方进行审核/审查，当申请方能够向深大认证证实其管理体系和（或）服务满足其选用的质量管理体系标准、环境管理体系标准或职业健康安全管理体系标准及适用的补充要求或服务相关标准时，即可给予注册，并颁发相应管理体系认证证书和（或）服务认证证书。SDIC will audit/review the applicant through the "Audit Process Management Procedure" and (or) "Service Certification Review Process Management

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Procedure”. When the applicant can prove to SDIC that its management system and (or) services meet the quality management system standards, environmental management system standards or occupational health and safety management system standards selected by it and the applicable supplementary requirements or service-related standards, it can be registered and the corresponding management system certification certificate and (or) service certification certificate will be issued.

4.7 深大认证对管理体系获证组织颁发的认证证书，仅表明获证组织在认证范围内的管理体系通过了认证，但并不表明深大认证对其产品、过程或服务以这种方式进行了认证。The certification certificate issued by SDIC to a management system certified organization only indicates that the management system of the certified organization within the certification scope has passed the certification, but does not mean that SDIC has certified its products, processes or services in this way.

4.8 深大认证按照《认证价格公示》收取认证费用，不接受任何客户或其他认证活动相关利益方的资助。SDIC charges certification fees in accordance with the “Certification Price Announcement” and does not accept any funding from any customers or other stakeholders in the certification activities.

4.9 深大认证按照《申诉和投诉处理管理程序》受理和处理对深大认证的申诉、投诉和争议。SDIC accepts and handles appeals, complaints and disputes against SDIC in accordance with the Appeal and Complaint Handling Procedures.

4.10 深大认证按照《暂停、撤销、扩大、缩小和终止认证程序》对获证客户的认证资格进行相应的处理 SDIC will handle the certification qualifications of certified customers in accordance with the “Procedures for Suspension, Revocation, Expansion, Reduction and Termination of Certification”

4.11 对于多场所的认证，按照《多场所认证注册规定》进行管理。

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Certification of multiple sites shall be managed in accordance with the "Multi-site Certification and Registration Regulations".

4.12 对于转换机构的认证申请，按照《认证申请及受理程序》的转换机构的认证申请与评审进行管理。The certification application of the conversion organization shall be managed in accordance with the certification application and review of the conversion organization in the "Certification Application and Acceptance Procedure".

4.13 获证组织应按照《认证标识、认证证书、认可标识和认可证书的使用规定》正确使用认证证书和认证标识。The certified organization shall use the certification certificate and certification mark correctly in accordance with the "Regulations on the Use of Certification Marks, Certification Certificates, Accreditation Marks and Accreditation Certificates".

4.14 获证组织应按照《影响认证的变更管理控制程序》及时向深大认证通报有关信息。The certified organization shall promptly report relevant information to SDIC in accordance with the "Change Management Control Procedure Affecting Certification".

4.15 获证组织应接受深大认证的政府监督机构（国家认监委）和认可机构对其认证审核的现场检查 and 现场见证评审。The certified organization shall accept on-site inspection and on-site witness review of its certification audit by the government supervisory agency (CNCA) and accreditation body of SDIC.

5 过程要求 Process Requirements

5.1 认证前活动 Pre-certification activities

认证申请及受理，详见《认证申请及受理程序》。For details on certification application and acceptance, please refer to "Certification Application and Acceptance Procedures".

审核/审查方案的指定，详见《审核方案管理程序》和《商品售后服务认证方案管理程序》For details on the designation of audit/review plans, please refer to the Audit Plan Management Procedure and Product After-Sales Service Certification Plan Management Procedure.

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确定审核时间，详见《管理体系人日数规定》和《服务认证人日数规定》
 Determine the audit time, please refer to the "Management System Man-Day Regulations" and "Service Certification Man-Day Regulations" for details.

多场所的抽样，详见《多场所认证注册规定》For sampling of multiple sites, please refer to the "Multi-site Certification and Registration Regulations"

5.2 策划管理体系审核/服务认证审查 Planning management system audit/service certification review

详见《审核过程管理程序》和(或)《服务认证审查过程管理程序》For details, please refer to the Audit Process Management Procedure and (or) the Service Certification Review Process Management Procedure.

5.3 实施管理体系审核/服务认证审查 Implement management system audit/service certification review

详见《审核过程管理程序》和(或)《服务认证审查过程管理程序》For details, please refer to the Audit Process Management Procedure and (or) the Service Certification Review Process Management Procedure.

5.4 认证决定和证书签发 Certification decision and issuance of certificate

认证决定和证书签发详见《认证决定、证书颁发和审核/审查资料处理程序》和《证书签发文件管理规定》For details on certification decisions and certificate issuance, please refer to the "Procedures for Processing Certification Decisions, Certificate Issuance and Audit/Review Materials" and the "Regulations on the Management of Certificate Issuance Documents".

5.5 保持认证 Maintaining Certification

管理体系监督审核/服务认证监督审查、管理体系和服务认证的特殊审核/审查、管理体系再认证和服务认证再评价，详见《审核过程管理程序》和(或)《服务认证审查过程管理程序》For details on management system surveillance audit/service certification surveillance review, management system and service certification special audit/review,

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management system recertification and service certification re-evaluation, please refer to the Audit Process Management Procedure and (or) Service Certification Review Process Management Procedure.

5.6 认证注册的扩大、缩小、暂停、撤销、暂停后恢复 Expansion, reduction, suspension, revocation and resumption of certification registration 详见《暂停、撤销、扩大、缩小和终止认证程序》For details, please refer to the "Procedures for Suspension, Revocation, Expansion, Reduction and Termination of Certification"

5.7 申诉和投诉 Appeals and Complaints

为保证管理体系和服务认证的公正性和有效性，深大认证允许受审核方或其它各方对深大认证派出的审核组的现场审核结论、审核员的行为及深大认证的审核结论，包括不予认证、暂停、撤销或扩大缩小认证的决定不满时，按深大认证的申诉程序（《申诉和投诉处理管理程序》可在深大认证网站上查询）提出申诉、投诉和争议。In order to ensure the fairness and effectiveness of management system and service certification, SDIC allows the audited party or other parties to file appeals, complaints and disputes in accordance with SDIC's appeal procedures (the Appeal and Complaint Handling Management Procedures can be found on the SDIC website) if they are dissatisfied with the on-site audit conclusions of the audit team sent by SDIC, the auditor's behavior and SDIC's audit conclusions, including the decision to refuse certification, suspend, revoke or expand or reduce certification.

5.8 客户的记录 Customer Records

客户的记录包括申请资料及初次认证、监督和再认证的审核/审查报告、认证合同、审核档案。深大认证将确保客户的记录的安全，运送、传输或传递记录的方式也将确保保密。记录保存期按《文件和记录控制程序》执行。The customer's records include application materials and initial certification, supervision and re-certification audit/review reports, certification contracts, and audit files. SDIC will ensure the safety of the customer's records, and the method of transporting, transmitting or delivering the records will also ensure

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confidentiality. The record retention period shall be implemented in accordance with the "Document and Record Control Procedure".

6 影响认证的变更管理 Change Management Affecting Certification

6.1 认证要求的变更 Changes in certification requirements

若深大认证的管理体系和服务认证要求欲进行更改，在实施更改前，将征求代表各方利益的维护公正性委员会的意见。更改生效后，公司客服部负责一个月内将更改后的要求通知各获证客户、申请方及其他有关利益方，并通知客户过渡期及验证方式。在给定时间内如获证客户不愿或经深大认证验证不能确保符合新的要求，深大认证将按规定暂停其管理体系认证证书的使用。详见《影响认证的变更管理控制程序》If SDIC 's management system and service certification requirements are to be changed, the opinions of the Impartiality Maintenance Committee representing the interests of all parties will be sought before the changes are implemented. After the changes take effect, the company's customer service department will be responsible for notifying all certified customers, applicants and other relevant stakeholders of the changed requirements within one month, and notifying customers of the transition period and verification methods. If the certified customer is unwilling or cannot ensure compliance with the new requirements within a given time, SDIC will suspend the use of its management system certification certificate in accordance with regulations. For details, please see the "Change Management Control Procedure Affecting Certification"

6.2 获证客户信息的变更 Changes in Certified Customer Information

当获证客户发生《影响认证的变更管理控制程序》中的变更情况，应及时通知深大认证，深大认证可根据情况决定是否需要必要的监督审核/评价或全面再认证审核/评价。When a certified client makes a change in the "Change Management Control Procedure Affecting Certification", it should promptly notify SDIC, which can decide whether to conduct necessary supervisory audits /evaluations or comprehensive recertification audits /evaluations based on the circumstances.

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7 相关文件 Related Documents

《认证申请及受理程序》《Certification Application and Acceptance Procedures》

《审核方案管理程序》Audit Program Management Procedure

《商品售后服务认证方案管理程序》Product After-Sales Service Certification Program Management Procedure

《商业企业品牌评价服务认证方案管理程序》“Business Enterprise Brand Evaluation Service Certification Program Management Procedure”

《清洁行业经营服务认证方案管理程序》Cleaning Industry Business Service Certification Program Management Procedure

《管理体系人日数规定》Regulations on the number of man-days for management systems

《服务认证人日数规定》Provisions on the number of service certification days

《多场所认证注册规定》Multi-site Certification and Registration Regulations

《审核过程管理程序》Audit Process Management Procedure

《服务认证审查过程管理程序》《Service Certification Review Process Management Procedure》

《认证决定、证书颁发和审核/审查资料处理程序》“Procedures for handling certification decisions, certificate issuance and audit/review materials”

《暂停、撤销、扩大、缩小和终止认证程序》Procedures for Suspension, Revocation, Expansion, Reduction and Termination of Certification

《申诉和投诉处理管理程序》Appeal and Complaints Handling Management Procedure

《文件和记录控制程序》Document and Record Control Procedure