

上海英格尔认证有限公司

Shanghai Ingeer Certification Assessment Co., Ltd.

认证授予、拒绝、保持、变更、 暂停、恢复、撤销程序

Procedure for granting, refusing, maintaining, changing, suspending, restoring and withdrawing certification

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1 目的 Objective

旨在保证英格尔（ICAS）授予、拒绝、保持、变更、暂停、恢复、撤销认证注册资格的工作符合规定要求以及签发的证书能正确使用。

It aims to ensure that ICAS's granting, refusing, maintaining, changing, suspending, restoring and withdrawing of certification registration qualification conforms to specified requirements, and the issued certificate can be used appropriately.

2 适用范围 Scope of application

对 ICAS 所颁发证书的授予、拒绝、保持、变更、暂停、恢复、撤销的管理。

Management of the granting, refusing, maintaining, changing, suspending, restoring and withdrawing of certificates issued by ICAS.

3 职责和权限 Responsibilities and authorities

3.1 注册部负责证书的授予、拒绝、保持，扩大、缩小、暂停及撤销决定的协调管理；

Registration department is responsible for the coordination management in related to decisions on granting, refusing, maintaining, expanding, reducing, suspending and withdrawing of certificate;

3.2 总经理负责对证书的授予、拒绝、保持，扩大、缩小、暂停及撤销的确认；

Managing director is responsible for the confirmation of granting, refusing, maintaining, expanding, reducing, suspending and withdrawing of certificate;

3.3 市场部负责证书以及暂停、恢复和撤销通知书的发放。

Market Department is responsible for issuing certificates and notice of suspension, restoring and withdrawal.

4 程序 Procedure

4.1 管理体系认证证书的授予 Granting of management system certificates

4.1.1 申请认证的组织在 ICAS 对其实施了必须的评审后，符合以下条件，ICAS 将作出批准注册的决定。

- a) 组织的管理体系健全，符合所选定标准的要求，执行情况良好；有合法的法律地位；产品的实物质量符合相关规定的要求。
- b) 组织实施了有效的内审和管理评审，体系运行有效，且予以保持。
- c) 对所有反映以下问题的不符合，ICAS 已评审、接受并证实了纠正和纠正措施的有效性：
 - 1) 未能满足管理体系标准的一项或多项要求；或
 - 2) 使人对客户管理体系实现预期结果的能力产生重大怀疑的情况；
- d) 对于任何其他不符合，ICAS 已评审并接受了客户计划采取的纠正和纠正措施。
- e) 支付所有的认证费用；

After ICAS conducts necessary review to the organization applying for certification and once the following requirements are met, ICAS will make a decision on the approval of registration.

a) The quality system of the organization is well completed and it complies with the requirements of the selected standards and the implementation is in good condition; the organization possesses legitimate legal status and the real quality of products conforms to the requirements of related provisions.

b) The organization implements effective internal audit and management review. The operation of

system is effective and maintained.

c) As to any nonconformity with respect to the following issues, ICAS has reviewed, accepted and verified the effectiveness of correction and corrective actions:

1) In the case that one or more requirements of management system standards are not met; or

2) In the case that significant doubt could arise about client's ability to realize expected results of its management system;

d) In terms of other nonconformities, ICAS has conducted review and accepted the correction and corrective actions taken by the client.

e) All certification fees are paid.

4.1.2 收到审核组上报的审核材料后，注册部经理根据管理委员会批准的认证决定人员清单协调人员按《认证决定表》（FP1086）要求对上报审核档案以及审核以外得到的信息，如投诉、市场反馈等进行评定，参与评定的人员必须为非审核人员，认证决定人员作出认证决定后交注册部，注册部对认证决定过程进行再次确认无误后，由注册部报总经理。

Upon receipt of audit materials submitted by Audit Team, on the basis of list of decision-makers approved by Management Committee, the registration manager should coordinate staff according to the requirement of "Checklists of certification decision" (FP1086) who assess audit files submitted and the information gained from the sources other than audit, such as complaints, market feedback and so on. The personnel who participates in assessment must not be auditors. Certification decision made by certification decision personnel should be submitted to Registration Department and Registration Department re-confirms that the process of certification decision is without error. Then the certification decision is delivered to General Manager by the Registration Department.

4.1.3 总经理确认后，由注册部制作证书中英文各一份，证书发放前需经总经理批准。

After confirmed by General Manager, the Registration Department should make an English copy and Chinese copy of the certificate. Before the certificate is issued, the approval of the General Manager should be obtained.

4.1.4 所有发放的证书由注册部留一份复印件，保存在审核档案中。Registration Department should keep a copy of all certificates issued for storing it in audit files.

4.2 产品认证注册资格的授予 Granting of product certification registration qualification

4.2.1 申请认证的组织在英格尔对其实施了必须的评审后，符合以下条件，英格尔将作出批准注册的决定。

- a) 是具有法律地位的组织，或是具有法律地位较大组织的一部分；
- b) 国家或地方或行业有要求时，认证申请方具有规定的资质；
- c) 认证申请方申请认证范围在法律地位文件和资质规定的范围内；
- d) 认证申请方的申请材料真实、准确、有效；
- e) 认证申请方已与 ICAS 签署认证合同，承诺始终遵守认证及 ICAS 的有关规定，并按照认证合同规定缴纳认证费用。
- f) 认证申请方申请认证的产品符合相关产品标准及认证规则的要求；
- g) 组织应积极遵守国家有关产品质量、环境、职业健康安全法律法规和标准，对于存在违规现象的，需采取纠正措施，且方案正在得到落实；
- h) 认证之日前一年内（至少），未发生过重大的违反法律法规、人身安全的事故（例如重大质量/环境/安全事故）；

——获证方在认证证书有效期内按期接受监督。

——再认证的现场审核及不符合项关闭在原证书有效期内实施完成。

After ICAS has conducted necessary review to the applicant and the following requirements have met, ICAS will make a decision on the approval of registration.

- a) The organization has legal status, or a large portion of the organization has legal status;
- b) Certification applicant possesses stipulated qualifications when there are requirements by the country or local or industry;
- c) The scope of certification (recertification) that certification applicant applies for is within the stipulated scope of legal status files and qualifications;
- d) Application materials of certification applicant are true, accurate and effective;
- e) Certification applicant has signed certification (recertification) contract with ICAS, promises that he will comply with the related regulations of certification and ICAS, and pay certification fees in accordance with the provisions of the certification agreement.
- f) Management system established and implemented by certification applicant conforms to the requirements of certification standards;
- g) The organization should actively comply with the relevant national laws, regulations and standards of product quality, environment and occupational health and safety. For the organization having the behavior of violations, corrective actions should be taken and the scheme is being implemented.
- h) In the year before the day of certification (at least), major violations of laws and regulations or safety accident have not occurred (such as significant quality/environmental/safety accidents).

—— The certificated organization should accept surveillance on time in the validity of the certificate.

—— On-site audit of recertification and the closure of nonconformities should be completed in the validity of the original certificate.

4.2.2 收到产品认证检查组上报的评审材料后，注册部经理根据管理委员会批准产品认证的认证决定人员清单协调人员按《产品认证评审表》要求对上报档案以及得到的信息，如投诉、市场反馈等进行评定，参与评定的人员必须为非检查/评价人员，产品认证决定人员作出认证决定后交注册部，注册部对认证决定过程进行再次确认无误后，由注册部报总经理。总经理确认后，由注册部制作证书中英文各一份，证书发放前需经总经理批准。

Upon receipt of review materials submitted by Audit Team, the registration manager should assign staff from list of certification decision makers for product certification that has been approved by management committee to assess the audit files submitted and the information gained such as complaints, market feedback and so on according to the requirements of “Product Certification Review Form”. The personnel who participates in assessment must not be auditors. Certification decision made by product certification decision personnel should be submitted to the Registration Department, and the Registration Department re-confirms the process of certification decision. Then the certification decision is delivered to the General Manager by the Registration Department. Once being confirmed by General Manager, Registration Department should make a certificate both in Chinese and English edition. Before the certificate is issued, the approval of the General Manager should be obtained.

4.2.3 所有发放的证书由注册部留一份复印件，保存在审核档案中。

Registration Department should keep a copy of all issued certificates for storing it in audit files.

4.3 认证的拒绝 Refusal of certification

4.3.1 当认证条件或认证结果不符合本文 4.1 或 4.2 的要求时，ICAS 将拒绝授予认证。

注：有机产品认证拒绝授予认证的条件，应满足有机产品认证实施规则的要求。

ICAS would refuse to grant the certification if certification condition or results do not comply with clause 4.1 or 4.2 of this document.

4.3.2 当**申请评审**拒绝认证时，由审核部合同评审人员将拒绝认证的理由及相关信息传递给市场

业务人员，由业务人员通知认证申请方。

If certification is refused during dealing process, contract reviewer from audit department would report reason for refusing certification and relevant information to market personnel who would then notify the certification applicants.

4.3.3 当认证决定拒绝认证时，由注册部认证决定人员将拒绝认证的理由及相关信息传递给市场业务人员，由业务人员通知认证申请方。

If certification decision is refusing certification, decision makers from registration department would pass the reasons for refusing and relevant information to the market personnel who would then notify the certification applicants.

4.4 认证证书的保持 Maintenance of the certification certificate

4.4.1 证书保持条件 Conditions for certificate maintenance

- 获证方在认证证书有效期内按期接受监督审核。
- 质量、环境、职业健康安全及能源管理体系有效保持，管理体系无重大变更；
- 对现场审核中出现的不合格项能够按要求整改且纠正措施实施有效；
- 对现场检查中出现的不合格项能够按要求整改且纠正措施实施有效；
- 在认证证书有效期内如有认证要求变更，ICAS 将变更要求以公开文件及其他方式通报获证组织，执行《产品认证管理程序》，并经 ICAS 验证在认证范围内相关产品满足变更的要求；
- 需要换发证书情况下，执行《产品认证管理程序》/《有机和 GAP 认证管理程序》，经必要的审查（审核）和认证决定小组对相关材料进行审定，认为获证（申请）组织在认证范围内能满足保持认证资格的条件，经 ICAS 总经理批准换发认证证书
- 没有重大投诉；
- 没有重大产品事故；
- 没有严重违法违纪行为；
- 按时支付认证审核费用。
- The certificated organization should accept surveillance audit as scheduled within the valid time of the certificate.
- Quality, environmental, occupational health and safety and energy management system are effectively maintained, and there are no significant changes to management system;
- The nonconformities discovered during the period of on-site audit can be rectified on request and the corrective actions taken are effectively;
- During the valid period of the certificate, if there are changes of certification requirements, ICAS will inform the certificated organization of the requirements changed by means of public documents or other ways and implement “Management Procedure of Product Certification”. The relevant product within the scope of certification satisfies the requirements changed through the verification conducted by ICAS;
- In the cases of renewing the certificate, ICAS implements “Management Procedure of product certification”. By means of necessary review (audit) and the method that certification decision group examines the related materials, if ICAS believes that the certificated (application) organization can satisfy the conditions of maintaining certification qualification within the scope of

certification, General Manager of ICAS will approve the replacement of certificate.

- There are no significant complaints;
- There are no major accidents of products;
- There are no serious violations of laws and discipline;
- Audit fees are paid on time.

4.4.2 注册部收到审核部的监督审核的审核报告后, 根据《认证决定表》(FP1086) 进行评审。After receiving audit report of surveillance audit submitted by Audit Department, the Registration Department will conduct review according to “Checklists of certification decision” (FP1086).

4.4.3 如果发现获证组织发生了与 OHS 有关的严重事件, 如严重事故或严重违法, 实施独立于监管机构的特殊审核是必要的, 以便调查管理体系是否存在严重问题以及是否有效发挥作用; 此时应记录调查的结果。

Independently from the involvement of the competent regulatory authority, a special audit may be necessary in the event that ICAS becomes aware that there has been a serious incident related to occupational health and safety, for example, a serious accident, or a serious breach of regulation, in order to investigate if the management system has not been compromised and did function effectively. ICAS shall document the outcome of its investigation.

4.5 认证证书范围的变更 (扩大或缩小) Changes of the scope of the certification certificate (expanding or reducing)

4.5.1 当获证组织要求变更 (扩大) 认证范围时, 审核部应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, 以做出是否可予扩大的决定。

这种变更包括 (但不限于) 与下列方面有关的变更:

- 1) 法律地位、经营状况、组织状态或所有权;
- 2) 组织和管理层 (如关键的管理、决策或技术人员);
- 3) 生产地址和场所;
- 4) 获证管理体系覆盖的范围; 能源管理体系还包括能源核算边界的变化;
- 5) 管理体系和过程的重大变更。

注: 有机产品认证和良好农业规范认证证书变更程序参照有机和 GAP 认证管理程序 (ICASP33C) 中的违规制裁程序执行。

If certified organization asks for changing(expanding) the scope of certification, the Audit Department shall review the application for expanding the scope of certification and determine any necessary audit activities to make a decision on whether to expand or not.

The changes include (but not limited to) changes with respect to:

- 1) the legal, commercial, organizational status or ownership;
- 2) organization and management level (e.g. key managerial, decision-making or technical staff)
- 3) address and sites of production;
- 4) scope of operations under the certified management system; energy management system also includes changes in the boundaries of energy accounting
- 5) major changes to management system and processes;

认证授予、拒绝、保持、变更、暂停、恢复、撤销程序

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4.5.2 此时，获证组织需提交更改的管理体系文件、数据信息和工商证明文件（必要时），适用时还需提交相应许可证书。

In this case, the certified organizations are required to submit management system documents changed, data information and evidence documents of industry and commercial (where necessary). The certified organizations are also required to submit related license certificate where applicable.

4.5.3 审核方案管理人员按各认证管理程序要求，对变更部分的申请进行评审。

Management personnel of audit program shall apply for review on the changed content according to requirements of different certification management procedures.

4.5.4 审核部按各认证管理程序要求对其现场进行审核（可结合监督审核或再认证进行），并将审核结果报注册部。

Audit department shall conduct on-site audit according to requirements for different certification management procedures (may combine with surveillance audit or recertification), and submit the audit results to the registration department.

4.5.5 ICAS 以公开文件的方式要求获证组织向 ICAS 通报管理体系变更，以及其他可能影响其符合性的变更。

ICAS requires the certified organizations to report ICAS any changes to the management system and other changes which may affect its compliance through public documents.

4.5.6 如果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，ICAS 将缩小其认证范围，以排除不满足要求的部分。认证范围的缩小应与认证标准的要求一致。

ICAS shall reduce the scope of certification to exclude the parts not meeting the requirements, when the certified client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification. Any such reduction shall be in line with the requirements of the standard used for certification.

4.5.7 审核部按《产品认证管理程序》（ICASP23）/有机和 GAP 认证管理程序(ICASP33C)，及产品认证实施方案的规定采取措施，确定评价的方式，并将最终评价结果报注册部。

Audit Department takes actions according to regulations from “Management Procedure of Product Certification” (ICASP23) and product certification implementation plan to determine the mode of evaluation, and reports the final evaluation results to Registration Department.

4.5.8 当产品认证监督或其他活动的结果证实存在不满足认证要求的不符合时，ICAS 将采取以下可能的措施：

- a) 在经 ICAS 评审后，根据要求采取适当的措施（如：增加监督）下保持认证；
- b) 缩小认证范围以剔除不符合的产品类别；
- c) 在获证组织采取补救措施前暂停认证；
- d) 撤销认证。

When the results of surveillance for product certification or other activities confirm that there exist nonconformities which do not satisfy the requirements of certification, ICAS will take the possible actions as follows:

- a) After reviewed by ICAS, appropriate actions (such as: adding surveillance) should be taken to maintain certification on request;
- b) Reduce the scope of certification in order to eliminate categories of non-conforming products;
- c) Suspend certification before the certified organization takes remedial actions;
- d) Withdraw certification.

4.5.9 注册部根据《认证决定表》(FP1086)中相关的项目进行评定，作出决定后交总经理，总经理确认后由注册部制作证书，给予换发，并及时修改相关客户认证信息。

Registration Department conducts assessment according to the related items from “Certification

Decision From” (FP1086) and submits the decision to General Manager. Once confirmed by the General Manger, Registration Department will make the new certificate for renewal and modify relevant certification information of the clients without undue delay.

4.6 认证证书的暂停 Suspension of the certification certificate

4.6.1 出现下列情况之一会导致证书的暂停：由于质量、环境、职业健康安全、信息技术服务、食品质量安全、HACCP 及能源等管理体系发生重大变更而导致原有认证失效；

- a) 客户的获证管理体系持续地或严重地不满足认证要求（包括有效性）。
- b) 监督审核发现严重不符合项，且未在规定时间内进行有效整改；
- c) 获证产品持续地或严重地不满足认证要求（包括有效性）。
- d) 认证证书所涉及的产品质量监督抽查发现重大不合格的；
- e) 未按规定使用认证证书和认证标志,且在规定的时间内未进行有效整改；
- f) 发生影响质量、环境、职业健康安全、信息安全、食品质量安全、**HACCP 体系**及能源管理体系的重大事故的；
- g) 发生重大质量、环境污染、职业健康安全、食品质量安全及能源投诉，但未造成严重后果者；
- h) 获证组织无正当理由连续两次不接受不通知现场审核的（新版 HACCP 适用）**
- i) 未按照 ICAS 规定的时限进行监督审核；
- j) 不承担、履行认证合同约定的责任和义务的。如未按期交纳认证费用且经指出后仍未交纳的；
- k) 被有关执法监管部门责令停业整顿的。
- l) 持有的与质量管理体系范围有关的行政许可证明、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尚未换证的。
- m) 获证客户主动请求暂停。
- n) 特殊行业，在特定时期国家有要求予以暂停的，证明材料须附国家有关要求的文件；
注：有机产品认证和良好农业规范认证证书的暂停、证书恢复程序参照有机和 GAP 认证管理程序(ICASP33C)中的违规制裁程序执行。

The certificate will be suspended if one of the following situations occurs: the original certification is invalid due to significant changes to quality, environmental, occupational health and safety, information technology services ,Food safety management system ,HACCP and energy management systems;

- a) The client’s certified management system has persistently or seriously failed to meet certification requirements; (including effectiveness).
- b) Major nonconformity is found in surveillance audit and effective corrections are not adopted within require time scale;
- c) Certified product has persistently or seriously failed to meet certification requirements; (including effectiveness);
- d) Major nonconformity has been found in quality surveillance spot check for product covered in the certification certificate;
- e) Fail to use certification certificate and mark in a properly way as required, and effective corrections are not taken within required time scale;
- f) Major accidents occurred which will affect quality, environmental, occupational health and safety, information security ,Food safety management system, HACCP system and energy management system;
- g) Major complaints for quality, environmental, occupational health and safety, Food safety

management system, and energy management system, but no major consequence has caused by it;

h) The certified organization does not accept two consecutive on-site audits without justifiable reasons (applicable to the new version of HACCP) ;

i) Surveillance audit was not carried out within time limit specified by ICAS;

j) Client does not undertake or fulfill the responsibilities and obligations agreed in certification agreements, for example client fails to pay certification fees on time and still not paying after being reminded;

k) Client who is ordered to stop doing business for internal rectification by supervision department;

l) Administrative licensing certificates, qualification certificates and mandatory certificate etc. relating to the quality management system holding by the client are expired or invalid, and the resubmitted application has been accepted but certificate has not changed yet.;

m) Certified client has voluntarily requested a suspension;

n) For special industry, if it is required by the nation to suspend at particular time, documents for this request shall be attached with the evidence materials;

4.6.2 审核部发现 4.6.1a-h 的现象后, 应在审核报告中说明, 市场部发现上述 i-n 的现象后, 应通过注册部, 由注册部协调认证决定人员进行认证决定并予以记录, 由注册部向客户发出证书暂停通知。

对于第一次年度审核超过证书签发日期后 12 个月、之后的年度审核距离上次审核完成日 12 个月 (特殊情况下间隔可延长但不能超过 15 个月且不能跨越公历年份) 未进行审核的客户, 市场部负责年审安排的人员应向注册部提交名单, 由注册部作出暂停决定, 报注册经理或总经理。由注册部制作《管理体系认证证书暂停通知》(MAP1111), 在该客户的审核档案中备案, 更新客户数据库中做相应标识, 并将《管理体系认证证书暂停通知》抄送年审安排人员及市场部, 由年审安排人员负责通知客户、跟踪; 市场部负责更新客户总表。在这个期限之前, 客服人员应提前及时通知客户不能按时进行年度审核的后果。

认证证书暂停期一般为 3 至 6 个月 (最长不应超过 6 个月), 应在该期限内采取措施消除引起暂停的原因。如果获证组织未能在规定的时限内解决造成暂停的问题, ICAS 应撤销或缩小其认证范围。如果客户持有的行政许可证明已经过期或失效, 但已重新提交相应的行政许可申请、且申请已被相应的行政许可机关受理的, 暂停期可至行政许可机关作出行政许可决定之日。

If audit department finds situations of a-h under section 4.6.1 happen, it shall explain in the audit report. If market department finds situations of above i-n happen, it shall inform the registration department who would then allocate certification decision makers to make decisions and record them, registration department would issue suspension notice of certificate to the client.

In case that client's first annual audit takes place more than 12 months after certificate issuing date, and its next annual audit takes place 12 months since last audit day (in special situation, the gap can be expanded but shall be no longer than 15 months and it shall not cross Gregorian calendar year), responsible personnel for annual arrangement in the market department shall submit the list to the registration department and let it make suspension decision and report it to the registration manager or general manager. Registration Department makes "Suspension Notice of Certificate" (MAP1111), puts on records in audit files of that client, makes corresponding mark in update client database and make a copy of "Certificate Suspension Notice" to the personnel arranging annual audit and Marketing Department. The personnel responsible for arranging annual audit shall inform the client and follow up. Market Department is responsible for updating the general form of the clients. Before the deadline,

client service personnel shall inform client in advance the consequence of not receiving annual audit on time.

The usual suspension time for certificate is 3 months, client shall take actions to eliminate causes of suspension within this period. This corrective period can be relatively expanded but shall be no longer than six months. Failure to resolve the issues that have resulted in the suspension in a time established by ICAS shall result in withdrawal or reduction of the scope of certification. If current administrative licenses hold by client has been expired or invalid and resubmitted application for administrative licenses has been accepted by relevant administrative license authority, then suspension period can be expanded to the day administrative license authority makes decisions.

4.6.3 负责年度审核安排的人员负责对由于未能按时进行年审而暂停的客户的跟踪；注册部、市场部对由于其它原因而暂停的客户的纠正情况进行跟踪。如认证证书暂停的6个月内没有采取有效措施，年度审核安排人员和市场部应通知注册部，由注册部制作《管理体系认证证书撤销通知》(MAP1112)、在审核档案中备案、更新客户数据库，并将《管理体系认证证书撤销通知》抄送市场部，由市场部通知客户、跟踪，更新客户信息总表。

The personnel who is in charge of arranging annual audit should be responsible for following up the client who was suspended due to being unable to conduct annual audit on time. Registration Department and Market Department shall follow up corrections taken by the client who was suspended due to other reasons. If the client fails to take effective actions within 6 months since the date of certificate suspension, the personnel who is in charge of arranging annual audit and Marketing Department should inform Registration Department. Registration Department makes “Notice of Withdrawing of Certificate” (MAP1112), put on records in audit files, update client database and make a copy of “Notice of Withdrawing of Certificate” to Marketing Department. Marketing Department is responsible for informing client, following up and updating the general form of the clients.

4.6.4 在暂停期限内，如客户对导致暂停的原因采取了有效措施，经相关部门确认，注册部复核并报总经理批准后，方可恢复其认证证书。

Within the period of suspension, if the client has taken effective actions against the causes of suspension, its certification certificate can only be restored after being confirmed by relevant department, reviewed by registration department and approved by general manager.

4.6.5 当产品认证的监督或其他活动的结果证实存在不满足认证要求的不符合时，应对客户的认证证书予以暂停。此时，应由市场部年审业务人员向客户发出暂停通知，说明和沟通（且不限于）以下信息：

——为结束暂停和恢复认证，根据认证方案所需采取的措施；

——认证方案要求的任何其他措施

If the results of surveillance of the product certificate or of other activities indicate that nonconformity of certification requirements exists, the client’s certificate shall be suspended. Meanwhile, annual review personnel from market department shall give notice to the client to make explanation and communication of (but not limited to) the following information:

-----Actions adopted according to the certification scheme in order to end the suspension and restore the certification

-----Any other actions required by the certification scheme

4.6.6 由获证客户提供的、或在特殊审核期间，审核组直接收集的有关导致监管机构参与（调查）的事件信息，如严重事故或严重违法（行为），应为 ICAS 提供决定采取措施的理由，包括，一旦证明体系严重地不能满足 OHSMS 认证要求而采取的暂停或撤销认证的措施。这些要求应是 ICAS 和组织签署的合同协议的一部分。

Information on incidents such as a serious accident, or a serious breach of regulation necessitating the

involvement of the competent regulatory authority, provided by the certified client or directly gathered by the audit team during the special audit, shall provide grounds for ICAS to decide on the actions to be taken, including a suspension or withdrawal of the certification, in cases where it can be demonstrated that the system seriously failed to meet the OH&S certification requirements. Such requirements shall be part of the contractual agreements between ICAS and the organization.

4.7 认证资格的恢复 Restoring of the certification qualification

4.7.1 恢复认证资格的条件:

经暂停恢复审核、或获证组织提供的证明材料表明,已针对暂停认证资格的原因采取了有效的纠正措施,产生原因已经消除,重新符合了相关的认证要求,包括:

- a) 受审核方未在规定的时限内接受监督审核被暂停的,需安排暂停恢复审核;
- b) 发生重大事故被暂停的,需附组织事故调查分析报告(自身的和国家有关部门的)以及 ICAS 就该事故进行追踪审核的审核报告,可表明其纠正及纠正措施充分有效;
- c) 因投诉被暂停的,需提交组织针对投诉原因采取的纠正措施及验证材料;
- d) 因未交纳审核费用被暂停的,需附交费证明(如汇款凭证复印件)
- e) 其他针对暂停证书原因提交的纠正材料或证明性文件。

注:有机产品认证和良好农业规范认证证书的暂停、证书恢复程序参照有机和 GAP 认证管理程序(ICASP33C)中的违规制裁程序执行。

Conditions for restoring the certification qualification:

Documentary evidence provided by the certificated organization indicate that they have taken effective corrective actions to the causes of suspension the certification qualification, the causes have been eliminated and they conform to the requirements of the relevant certification again, including:

- a) If the certification qualification is suspended because the auditee does not accept surveillance audit within the stipulated period, the surveillance audit plan re-arranged and the surveillance audit report should be attached;
- b) If the certification qualification is suspended due to major accidents, the investigation analysis report of the accident (from itself and the relevant national department) and audit report of following up and reviewing the accident by ICAS should be attached, which can indicate that the corrective actions have been taken effectively;
- c) If the certification qualification is suspended because of complaints, the corrective actions to the causes of complaints that the organization has taken and verification materials should be attached;
- d) If the certification qualification is suspended due to non-payment of fees, payment evidence (such as the copy of remittance sheet) should be attached;
- e) Other corrective materials or documentary evidence submitted with respect to the suspension of the certificate.

4.7.2 可恢复认证资格的组织,经评审通过,注册部复核并做出认证决定后,方可恢复其认证证书。注册部应更新获证组织数据库并抄送市场部,市场部负责更新获证组织信息总表。

If the organization whose certification qualification can be restored, its certificate can only be restored once it has passed the review, being reviewed by Registration Department and reported to General Manager for approval. Registration Department should update database of certificated organization and CC to Marketing Department. Marketing Department is responsible for updating the general information list of certificated organization.

4.8 认证证书的撤销/终止(注销) Withdrawal/Revocation of certification certificate

4.8.1 客户的全部或部分产品/服务出现下列情况,将导致证书的撤销/终止(注销)、或证书的认证范围的缩小:

- a) 客户主动提出申请(终止(注销));

认证授予、拒绝、保持、变更、暂停、恢复、撤销程序

Tel:+86 21 51114700 Fax:+86 21 54253541

- b) 客户被终止（注销）或撤销法律地位证明文件；
 - c) 客户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；
 - d) 拒绝配合认证监管部门实施的监督检查，或者对有关事项的询问和调查提供了虚假材料或信息；
 - e) 拒绝接受国家产品质量监督抽查的；
 - f) 出现重大的产品和服务等质量安全事故，经执法监管部门确认是获证组织违规造成的；
 - g) 获证组织不再生产获证范围内产品的或不再提供获证范围内服务的；（FSMS&HACCP 体系适用）
 - h) 获证组织虚报、瞒报获证所需信息的；（FSMS&HACCP 体系适用）
 - i) 暂停期限内未能对引起暂停的原因采取有效的纠正措施；
 - j) 暂停认证证书的期限已满但导致暂停的问题未得到解决或纠正的（包括持有的与质量管理体系范围有关的行政许可证明、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）；
 - k) 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；
 - l) 严重违法违反法律法规；
 - m) 管理体系发生重大变更且在暂停期间未能采取有效纠正措施,经评审其管理体系不符合要求；
- 注：有机产品认证和良好农业规范认证证书的撤销、终止（注销）程序参照有机和 GAP 认证管理程序(ICASP33C)中的违规制裁程序执行。

The following situations happened to whole or part of the products/services of the client will result in the revocation/withdrawal of certificate, or reduction of certification scope of certificate:

- a) The client requests voluntarily (for revocation)
- b) Evidence documents of client's legal status are withdrawn or revoked;
- c) The client has been listed in *List of Serious Dishonesty Enterprises* by General Administration of Quality Supervision, Inspection and Quarantine of the People's Republic of China;
- d) The client refuses to cooperate with certification and supervision department for supervision and check, or provides false materials or information for the enquiry and examination of relevant issues;
- e) The client refuses to accept the supervision and sampling for production quality by the country;
- f) Major quality safety accidents of products and services occurred due to certified organization's violation of rules which is confirmed by supervision department;
- g) Where a licensed organization no longer produces products within the scope of the certification or no longer provides services within the scope of the certification. (Applicable to FSMS&HACCP)
- h) Where the licensed organization falsely reports or conceals the information needed to obtain the certificate. (Applicable to FSMS&HACCP)
- i) Fail to adopt any effective corrective actions against causes for suspension during the period of suspension;
- j) The suspension period is over but issues which had caused suspension have not been solved or corrected (including the administrative licensing certificate, qualification certificate, compulsory certificate and other certificates with respect to scope of quality management system currently held by the client has been expired or invalid but the new application is yet to be approved);
- k) The obtained certification information is not correctively used and promoted as according to relevant rules, which has led to severe consequences or impact; or, certification body has requested client to correct but correction has not been taken for more than two months;
- l) Serious violation of laws and regulations;

m) There have been major changes to the management system, but the client failed to take effective corrections during the period of suspension, and its management system is reviewed as not in compliance with the requirements;

4.8.2 发生上述情况之一时，由注册部向客户发出《管理体系认证证书撤销通知》（MAP1112），通知中应明确要求客户将认证证书交回并不可在任何商业活动中使用证书或其复印件进行宣传，并通知客户如未按通知规定的有关要求执行，将采取必要的法律手段。同时注册部应负责将撤销状态予以公告，并将证书被撤销的客户从英格尔认证客户名录中删除。对于部分产品/服务持续或严重地不满足认证要求，则应撤销原证书后，换发缩小认证范围的证书。

If one of the situations mentioned above happens, Registration Department should send "Notice of withdrawing of Management System Certificate" (MAP1112) out to the client. In the notice, it should be explicitly pointed out that the client should return the certification certificate and the certificate or its copy cannot be used in any commercial activities or propaganda activities. Registration Department should also inform the client that ICAS will take necessary legal action if the client fails to implement the relevant requirements according to the stipulations of the notice. In the meantime, Registration Department should be in charge of making a public announcement of the withdrawal situation and delete the client whose certificate has been withdrawn from the client list of ICAS. If part of the products/services of the client dissatisfies the requirements of certification continuously or seriously, the original certificate should be withdrawn and the certificate with reducing the scope of certification should be replaced.

4.8.3 撤销认证证书后，ICAS 将通知企业及时交回撤销的认证证书，并及时在相关媒体和网站上公布或声明撤销决定。

Once the certificate is withdrawn, ICAS would inform enterprise to take back the withdrawn certificate and publish or declare the withdrawal on relevant media and website without undue delay.

4.8.4 如果终止（应客户要求）认证，ICAS 认证将根据与客户方达成的协议，形成“管理体系认证证书撤销通知”，发放给客户方，并同时声明所有相关的认证已不再保持。ICAS 还会对已授予客户方的正式认证文件、公布的信息、标志使用的授权等做出所有必要的更改，以确保没有任何信息显示该产品仍持续获得认证。

If the certification is terminated (at the request of the customer), the ICAS certification will form a "Notice of Cancellation of Management System Certificate" and issue it to the customer in accordance with the agreement reached with the customer, and at the same time declare that all relevant certifications are no longer maintained. ICAS will also make all necessary changes to the official certification documents granted to the customer, the published information, the authorization for the use of the logo, etc., to ensure that there is no information indicating that the product is still certified.

4.8.5 凡被暂停、撤销、终止（注销）认证证书及认证证书到期而未申请复审的组织，在作出相应认证决定后的两个工作日内报告认证监管机构。

For organization whose certificate has been suspended, withdrawn and expired, however, it failed to apply for re-assessment, the certification decision shall be submitted to the certification surveillance authority within two working days.

4.9 有关认证活动的具体信息，包括申请、初次审核、监督审核和授予、拒绝、保持、变更、暂停、恢复、撤销认证的过程的认证决定结果，由 ICAS 客服人员负责与客户方进行沟通和信息传递。信息交换的方式可以是发送邮件、微信发送信息和文件、电话通知等；客服人员应确保客户方收到相应信息。这些信息应作为认证档案的一部分予以留档和保存。

The ICAS customer service personnel shall be responsible for the communication and information transmission with the client for the specific information about the certification activities, including the certification decision results of the process of application, initial audit, supervision audit and grant, rejection, maintain, change, suspension, restoration and revocation of certification. The way of

information exchange can be e-mail, wechat sending information and documents, telephone notification, etc; The customer service personnel shall ensure that the customer receives the corresponding information. This information shall be filed and maintained as part of the certification files.

5 记录 Records

5.1 认证决定表(FP1026)

Registration Assessment Form (FP1026)

5.2 管理体系认证证书暂停通知 (MAP1111)

Notice of Suspension of Management System Certificate (MAP1111)

5.3 管理体系认证证书撤销通知 (MAP1112)

Notice of Withdrawing of Management System Certificate (MAP1112)

5.3 管理体系认证证书注销通知 (MAP1113)

Notice of Cancellation of Management System Certificate (MAP1113)

6 附录 Appendix

无 None

7 引用文件 Reference documents

CNAS-CC01 (ISO/IEC17021-1: 2015)

CNAS-CC02:2013 (ISO/IEC17065: 2012)

GB/T27309-2014

CNAS-CC18_2014

CNAS-SC185:2021

HACCP 体系认证实施规则 (CNCA-N-001: 2021)

有机产品认证实施规则 (CNCA-N-009 2014)

良好农业规范认证实施规则 (CNCA-N-004 2014)

有机产品认证管理办法 (总局令第 166 号)

GB/T19630-2011 有机产品标准