

## 《认证资格管理程序》

(授予、拒绝、保持、更新、暂停、恢复或撤销认证或者扩大或缩小认证范围的规定)

### 1. Conditions and procedure of granting (updating) certification qualification

授予（更新）认证资格的条件和程序

#### 1.1 Conditions of granting (updating) certification qualification

授予（更新）认证资格的条件

a) certification applicants are organizations with legal status, or a part of the organizations with legal status;

认证申请方是具有法律地位的组织，或是具有法律地位组织的一部分；

b) when required by nation, region or industry, the certification applicants should have regulated qualifications;

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) the scope of certification applicants should within the scope which is regulated by legal status documents and qualifications;

认证申请方申请认证（再认证）范围在法律地位文件和资质规定的范围内；

d) the application materials from certification applicants must be true, accurate and valid;

认证申请方的申请材料真实、准确、有效；

e) certification contract has been signed between certification applicants and MSC, and the applicants promise that they will comply with relevant regulations of certification and MSC, and pay certification fees according to certification contracts;

认证申请方已与公司签署认证（再认证）合同，承诺始终遵守认证及公司的有关规定，并按照认证合同规定缴纳认证费用；

f) the management systems of certification applicants satisfy the certification standards;

认证申请方建立和实施的管理体系符合认证标准要求；

g) the organizations should comply with national laws and standards related to product quality, to the phenomenon violating the rules, corrective measures should be taken, and the schemes are under practice;

g) 组织应积极遵守国家有关产品质量法律法规和标准，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) no serious violation of laws and regulations happened one year(at least) prior to certification date;

认证之日前一年内（至少），未发生过重大的违反法律法规；

i) management systems of organizations are well maintained within the period of validity of original certificates and accepted the surveillance audit on time;

组织的管理体系在原证书有效期内良好保持并按期接受了公司的监督审核；

j) according to the results of re-certification audit(the on-site audit of re-certification and the remove of non-conformities should be completed within the period of validity of original certificates), as well as the system assessment results and complains from certification users within certification cycle, and make the decision of whether update the certification.

根据再认证审核的结果（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），以及认证周期内的体系评价结果和认证使用方的投诉，做出是否更新认证的决定。

## 1.2 Procedure of granting (updating) certification qualification

授予（更新）认证资格的程序

a) MSC shall provide the unclassified documents related to certification information to certification applicants, certification applicants should know and understand these documents;

公司向认证申请方提供认证有关信息的公开文件，认证申请方已知悉并理解；

b) certification applicants shall exhibit 'Management system certification application' and relevant attachments;

认证申请方向公司正式提交《管理体系认证申请书》和相关附件；

c) certification applicants shall sign 'Management system certification contract' with MSC, and pay certification (re-certification) fees as required;

认证申请方与公司签署《管理体系认证合同》，并按照规定缴纳认证（再认证）费用；

- d) the management system documents of certification applicants should cover the certification scope they are applying for after being reviewed, and satisfy certification standards;

认证申请方申请认证的管理体系文件经审查已覆盖申请认证范围，并符合认证标准；

- e) the management systems of certification applicants should satisfy certification standards, criteria and other essential additional requirements after being reviewed by audit teams assigned by MSC. Corrections and corrective measures are taken against the non-conformities mentioned in the non-conformity reports within agreed time, and verified to be effective. The audit teams will come up with the conclusion to recommend certification;

- e) 认证申请方申请认证的管理体系，经公司委派的审核组的审核符合认证标准、准则和其他必要的附加要求。审核组不符合报告中提出的不符合已经在商定的限期内采取纠正和纠正措施，并经验证有效。审核组提出同意推荐认证注册的结论意见；

- f) after being reviewed by certification decision makers, the questions asked by the decision makers have been solved well, and verified to be effective, the decision makers believe that the auditees satisfy the conditions of granting certification (re-certification) registration qualification, and report to general managers for approval.

经公司认证决定小组审定，认证决定小组提出的问题已经得到妥善解决，并经验证有效，认为受审核方在认证范围内已满足授予认证（再认证）注册资格的条件，报总经理批准签发认证证书；

- g) MSC shall issue certificates to certification applicants, and authorize to use certification symbols;

公司向认证申请方颁发认证证书，并授权使用认证标志；

- h) the date of issuing certificates should be later than the date of certification conclusion satisfies requirements, the validity period of certificate is 3 years.

认证证书的发证日期在认证决定结论为符合要求的日期之后，证书有效

期为三年。

## **2. Conditions and procedure of maintaining certification qualifications**

保持认证资格的条件和程序

### 2.1 Conditions of maintaining certification qualifications

保持认证资格的条件

a) legal statuses, qualifications of certified organizations meet national latest requirements, and their certification scopes are within the scope stipulated by their legal status documents and qualifications;

获证组织的法律地位、资质持续符合国家的最新要求，并认证范围在其有效的法律地位文件和资质规定的范围内；

b) the management systems of certified organizations meet the requirements of certification criteria continuously;

获证组织的管理体系持续符合认证准则要求；

c) the certified organizations comply with regulations related to certification and MSC;

获证组织持续遵守认证及公司有关的规定；

d) the certified organizations do not occurred serious accidents or be inspected unqualified by nation during the period of certification cycle;

获证组织于获证期间在认证范围内未发生重大事故和国家检查不合格；

e) no misuse of certificates or certification symbols occurred during certification cycle, if there is, the certified organizations have taken corrections and corrective measures timely and effectively, and have reduce the influence generated by misuse to the minimum;

获证组织在获证期间未发生误用认证证书和认证标志，如有发生能及时有效地采取纠正和纠正措施，并将误用产生的影响降至最小程度；

f) the serious complaints from customers or interested parties has been handled with timely and effectively;

获证组织对顾客或相关方的重大投诉和抱怨能及时有效地处理；

g) the certified organizations can notice information of management system and

key processes alteration to MSC as required;

获证组织能按照公司要求向公司通报管理体系和重要过程变更等信息;

- h) the certified organizations fulfill the responsibilities and obligations stipulated in the certification contracts signed by both sides, and pay the certification fees as certification contracts required;

获证组织履行与公司签署认证合同中规定的责任和义务，并按照认证合同规定缴纳认证费用;

- i) within certificate validity period, if the certified organization changes or need changes, they should fill in the 'Certification information alteration application', and comply with relevant alteration regulations of MSC, and implement as required by 'Certification application acceptance management procedure'.

在认证证书有效期内，如果获证组织发生或需要变更，获证组织填写《认证信息变更申请书》，遵守公司有关变更的规定；并按《认证申请受理管理程序》执行。

## 2.2 Procedure of maintaining certification qualification

保持认证资格的程序

- 1) The certified organizations should accept the supervision of MSC from the beginning to the end within certification cycle, and accept surveillance audit of MSC at regulated deadline, if they can satisfy certification standards and other essential additional requirements continuously, corrections and(or) corrective measures have been taken against non-conformities listed in the non-conformity reports within agreed time limited. The audit team leaders shall make the decisions of keeping certification qualifications, and MSC will issue surveillance audit notices to certified organizations, when the following preconditions are satisfied, MSC will keep the clients' certification according to the leaders' affirmation conclusions, and may not review the conclusions independently:

获证组织在获证期间内始终接受公司的监督，并在规定的限期内接受公司的监督审核，如果能持续符合认证标准和其他必要的附加要求，

在不符合报告中提出的不符合已经在商定的限期内采取有效的纠正和（或）纠正措施。审核组长做出保持认证资格的决定，并由公司向获证组织颁发监督审核通知书，应满足下列前提条件时，可以根据审核组长的肯定性结论保持对客户的认证，而无需对这一结论进行独立复核：

a) to any non-conformity or other situation which may result in suspend or withdraw certification, certification body has systems to ask the leaders to report to MSC that review should be conducted by personnel with suitable abilities and do not carry out this audit, to confirm whether to keep certification;

对于任何可能导致暂停或撤销认证的不符合或其他情况，认证机构有制度要求审核组长向认证机构报告需由具备适宜能力且未实施该审核的人员进行复核，以确定能否保持认证；

b) personnel of certification body who possess abilities shall supervise surveillance activities of MSC, including supervise the report activities of auditors, to confirm that the certification activities are operating effectively.

具备能力的认证机构人员对认证机构的监督活动进行监视，包括对审核员的报告活动进行监视，以确认证活动在有效地运作。

2) If the organization has the requirement to change within the validity period, MSC will inform the certified organization in the form of unclassified documents and other approaches, and implement 'Certification application acceptance management procedure', and meet the alteration requirements within its certification scope verified by MSC; 在认证证书有效期内如有认证要求变更，公司将变更要求以公开文件及其他方式通报获证组织，执行《认证申请受理管理程序》，并经公司验证在认证范围内管理体系满足变更的要求；

3) Under the situation of replace certificates, 'Certification audit management procedure' will be implemented, after relevant materials being reviewed by essential audit and certification decision makers, and believe that the certified(application) organizations meet the conditions of maintaining certification qualification within certification scope, general

manager will approve to re-issue certificates.

需要换发证书情况下，执行《认证审核管理程序》，经必要的审查（审核）和公司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，经总经理批准换发认证证书。

### **3. Conditions and procedure of extending certification scopes**

#### **扩大认证范围的条件和程序**

##### **3.1 Conditions of extending certification scope**

###### **扩大认证范围的条件**

a) when required by nation, region or industry, the certification applicants should have regulated qualifications;

国家或地方或行业有要求时，获证组织在扩大认证范围内具有规定的资质；

b) the certification scope applying for extension of certified organization is within the scope regulated by legal status documents and qualifications;

获证组织申请扩大认证范围在法律地位文件和资质规定的范围内；

c) the management system of certified organization covers the certification scope applying for extension, and satisfy requirements of certification standards;

获证组织的管理体系覆盖申请扩大的认证范围，并符合认证标准要求；

d) no serious accidents happened or disqualification found by nation within certification scope applying for extension of certified organization at least in the latest one year;

至少近一年来，获证组织在申请扩大认证范围内未发生重大事故和国家检查不合格；

e) the certification scope listed in the contract signed between certified organization and MSC do not include the scope applying for extension, and need to supplement extended scope, supplemented certification fees should be paid as required by certification contract.

获证组织与公司签署认证合同中列有的认证范围未包括扩大认证范围的，需要补充扩大的认证范围，并按照认证合同规定缴纳补充认证费用。

### 3.2 Procedure of extending certification scope

扩大认证范围的程序

a) the certified organization shall present its extension intention, MSC will provide unclassified documents related to extending certification scope to certified organization, and the organization has known and understood;

获证组织向公司提出扩大意向，公司向获证组织提供与扩大认证范围有关信息的公开文件，获证组织已知悉并理解；

b) certified organization should submit 'Certification information alteration application' of extending certification scope and relevant attachments to MSC in formal;

获证组织向公司正式提交扩大认证范围的《认证信息变更申请书》和相关附件；

c) certified organization should sign supplemented or revise certification contract with MSC, and pay supplemented certification fees as required where necessary;

需要时，获证组织与公司补充签署或修订认证合同，并按照规定补充缴纳认证费用；

d) the management system documents of certified organization involved in the certification scope applying for extension are reviewed and satisfy the certification standards;

获证组织申请扩大认证范围所涉及的管理体系文件经审查已符合认证标准；

e) the management system involved in the certification scope applying for extension are satisfying certification standards and other essential additional requirements after being reviewed by audit team assigned by MSC. Corrections and corrective measures are taken against the non-conformities mentioned in the non-conformity reports within agreed time, and verified to be effective. The audit teams will come up with the conclusion of recommending



certification scope extension;

获证组织申请扩大认证范围所涉及的管理体系，经公司委派的审核组的审核符合认证标准和其他必要的附加要求。在不符合报告中提出的不符合已经在商定的限期内采取纠正和纠正措施，并经验证有效，审核组提出推荐扩大认证范围的结论意见；

- f) after being reviewed by the MSC decision making team, or the questions proposed by decision making team are solved effectively, MSC will believe that the certified organizations have met the conditions of approving certification qualification within the scope applying for extension, and report to general manager for approval, however, the registration number and validity period of certificate will keep the same; the specific operation requirements of extending certification scope please refer to the regulation of 'Certification application acceptance management procedure'. And where necessary, MSC should identify whether the certified organization can ensure the activities meet the certification requirements within certification scope after the scope extended, and evaluate that the negative effects operated or certification risks increased. And present suggestions of processing measures when suitable.

经公司认证决定小组评定，或认证决定小组评定提出的问题已得到有效解决，认为获证组织在申请扩大认证范围内已满足批准认证资格的条件，报总经理签署换发认证证书，但认证证书的注册号和有效期保持不变；扩大认证范围的具体操作要求详见《认证申请受理管理程序》中的具体规定。需要时，应识别扩大认证范围后是否对仍保证认证范围内的活动持续符合认证要求，应评价所产生的负面影响或增加的认证风险。适当时，提出处理措施意见。

#### **4. Conditions and procedure of reducing certification scope**

缩小认证范围的条件和程序

##### **4.1 Conditions of reducing certification scope**

缩小认证范围的条件

- a) part of the product scopes, scenes, areas, production lines and main

processes, etc. within certification scope of certified organization do not meet certification standards and other additional requirements;

获证组织的认证范围内部分产品范围、现场、区域、生产线、主要过程等不再继续符合认证标准和其他附加要求；

- b) part of the product scopes, scenes, areas, production lines and main processes, etc. within certification scope of certified organization do not want to keep certification qualification, but the precondition is that the certified organization cannot get rid of the parts with high risk of the pro indiviso, and direct responsible key processes, environmental risk or occupational safety;

获证组织的认证范围内部分产品范围、现场、区域、生产线、主要过程等不愿再继续保持认证资格，但前提是获证组织不能将不可分开的、负有直接责任的关键过程、环境风险或职业健康安全风险较大的部分从管理体系中剔除掉；

- c) the organization will not produce certain kind of products or provide certain service anymore;

组织不再生产某类产品或不再提供某种服务；

- d) the clients cannot solve questions which result in suspension within agreed time, and under the precondition that do not influence client responsibilities and the integrity of the whole management system meeting the standards, after being negotiated with clients, the parts which do not meet system requirement can be removed from certification scope.

客户未能在规定的时限内解决造成暂停的问题，在不影响客户责任和整个管理体系符合标准的完整性前提下，与客户协商，可以将不满足体系要求的部分，从认证范围中删除。

#### 4.2 Procedure of reducing certification scope

缩小认证范围的程序

- a) certified organization should submit 'Certification information alteration application' of reducing certification scope to MSC in formal, and provide reasons and evidences;

获证组织向公司正式提交缩小认证范围的《认证信息变更申请书》，并提供理由和证据；

- b) where necessary, MSC should identify whether the certified organization can ensure the activities meet the certification requirements continuously within certification scope after the scope is reduced, and evaluate the negative effects operated or certification risks increased. And present suggestions of processing measures when suitable.

需要时，公司应识别缩小认证范围后原认证范围内的活动是否持续符合认证要求，应评价可能产生的负面影响或增加的认证风险。适当时，提出处理措施意见；

- c) after being reviewed by the MSC decision making team, and is believed that the reduced certification scope of certified organization has meet the requirements of certification criteria, and report to general manager for approval, however, the registration number and validity period of certificate will keep the same;

经公司认证决定小组评定，认为获证组织缩小的认证范围符合认证准则要求，报总经理签署换发认证证书，但认证证书的注册号和有效期保持不变；

- d) when necessary, the certified organization shall revise contract with MSC; the certification scope reduction should in accordance with the requirements of certification standards.

需要时，获证组织与公司修订认证合同；认证范围的缩小应与认证标准的要求一致。

## **5. Conditions and procedure of suspending certification qualification**

暂停认证资格的条件和程序

### **5.1 Conditions of suspending certification qualification**

暂停认证资格的条件

When the possessed evidentiary materials indicate that the certified organization exists one of the following situations which will influence the

lasting validity and credibility of certification:

具备相关证明材料表明获证组织存在影响认证的持续有效性和公信力的以下情况之一时:

- a) the non-conformities (serious non-conformities) found in the surveillance audit, the corrections and corrective measures taken within agreed time are not accepted (or not verified to be effective). The evidentiary materials should attach audit reports, inconformity reports and corresponding materials of corrections and corrective measures;  
在监督审核中发现的不符合项 (严重不符合项), 在商定的时间内采取的纠正、纠正措施未被接受 (或未被证实有效)。证明材料须附审核报告、不符合项报告及相应的纠正和纠正措施材料;
- b) the management system of certified organization dissatisfies certification requirements continuously or seriously, including the requirements against management system validity;  
获证的管理体系持续地或严重地不满足认证要求, 包括对管理体系有效性的要求;
- c) cannot accept surveillance audit or re-certification audit within regulated time limited, the evidentiary materials should be attached with reason description, and note the audit date of last time;  
不能在规定的时限内接受监督审核或再认证审核, 证明材料须附原因说明, 并注明上次审核日期;
- d) do not use management system certificate and certification symbol issued by MSC according to 'requirements of using certificate and certification symbols', the evidentiary materials should be attached with corresponding evidences;  
未按《认证证书和认证标志使用要求》使用本公司签发的管理体系证书和认证标志, 证明材料须提供相应证据;
- e) the management system has been changed a lot and cannot meet the requirements of original certification scope covered, and do not inform MSC timely and are not treated well, the evidentiary materials should be attached with reports of describing details;

管理体系发生重大变更已不满足原认证覆盖范围要求，未及时通知公司得到妥善处理，证明材料须附表述具体情况的报告；

- f) serious accident occurred which will influence product quality performance, or national industry monitor find significant problems, the evidentiary materials should be attached with corresponding materials or explanation;

发生影响产品质量绩效的重大事故，或国家行业监察发现重大问题，证明材料须附相应材料或说明；

- g) in special industry, as required by national requirements to be suspended in certain time, the evidentiary materials should be attached with documents of national requirements;

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；

- h) do not pay certification fees on time as required;

未按规定及时交纳有关认证费用；

- i) the complaints against it or other information indicate that the certified organization will no longer meet relevant regulations of MSC, the evidentiary materials should be attached with the analysis reports or tracking audit reports of no longer meet relevant regulations of MSC;

对其投诉或任何其它信息证实表明获证组织不再符合公司的相关规定要求，证明材料须附不再符合公司的相关规定要求的分析报告或追踪审核报告；

- j) violate regulation of contract signed with MSC and agreement, the evidentiary materials should detailed describe content of terms;

违反与公司签订的合同及其协议的规定，证明材料须具体说明条款内容；

- k) the certified client applying for suspension voluntarily;

获证客户主动请求暂停；

- l) other situations which do not meet the requirements of MSC.

其他不满足公司认证要求的情况。

## 5.2 Procedure of suspending certification qualification

### 暂停认证资格的程序

a) if the certified organization is found to exist the situations described in 4.5.1 in the on-site audit, the audit team will set out recommend suggestion to suspend certification qualification, and report relevant materials to audit department; after being reviewed by MSC certification decision-making team and report to general manager to be approved, the decision of suspending certification qualification will be made. According to the results, audit department shall fill in and the 'Suspending, withdrawing certification decision notification' and send it to certified organization.

现场审核过程中发现获证组织存在4.5.1条款所述情况，审核组提出暂停认证资格的推荐意见，并将相关资料上报审核部；经公司认证决定小组审定通过并报总经理批准后，作出暂停认证资格的认证决定。审核部依据认证决定的结果，填写并向获证组织发送《暂停、撤销认证决定通知书》。

b) if the certified organization is found to exist the situation described in 4.5.1 in the off-site audit, auditing department should write the causes of suspending certification qualification into 'Suspending, withdrawing and resuming certification decision application', and report to general manager for review with attachment of relevant evidentiary materials in two work-days, work out 'Suspending, withdrawing certification decision notification'(centralized standard edition alteration will be excepted), and send to certified organization. In principle, to the organizations which cannot accept surveillance audit on time, MSC will do the suspension application within 7 work-days after 12 months later from last on-site audit; to the organizations which cannot accept re-certification audit on time, MSC will do the suspension application within 7 work-days after 12 months later from last re-certification audit date as required;

非现场审核过程中发现获证组织存在4.5.1条款所述情况，审核部应将暂停认证资格的原因写入《暂停、撤销、恢复认证决定申请表》，并在2个工作日内按相关要求附相关证明材料，报总经理审批后，制作《暂停、撤销认证决定通知书》（标准集中换版除外），并向获证组织发送。原则上，不能按时接受监督审核的组织，公司应在距离上次现场审核第

12 个月后的 7 个工作日内办理相关暂停申请；不能按时接受再认证审核的组织，公司应在要求的再认证审核日期后的 7 个工作日内办理相关暂停申请。

- c) general affairs department shall identify certificate status and require the organization to suspend to use certificates and certification symbols on MSC website and in certified organization data. MSC should ensure that the suspension information of certification qualification is available publicly, and take any other suitable measures. To the organizations which happened significant accidents, relevant information should be reported to accreditation body, please refer to 'Management system certification information submission management procedure'.

综合部负责在公司网站上和获证组织数据库中标识证书状态并要求其暂停使用认证证书和认证标志。公司应使认证资格的暂停信息可公开获取，并采取其认为适当的任何其他措施。对于组织发生重大事故的，相关信息需报认可机构，详见《管理体系认证信息报送管理程序》。

- d) under multitude situations, suspension period will be no longer than 6 months, generally can be divided into 2 grades: 3 months and 6 months, auditing project managers shall choose one as suspension period according to specific conditions, and specify in the 'Suspending, withdrawing certification decision notification'. If the suspension is caused by that organization could not accept re-certification audit within regulated time, the time cannot pass certificate validity period.

多数情况下暂停期将不超过 6 个月，一般分为 3 个月和 6 个月两档，审核项目管理人员根据具体情况分别选择 3 个月或 6 个月作为暂停期限，并在《暂停、撤销认证决定通知书》中写明。未能按规定时限接受再认证审核办理的暂停，不能超过证书有效期。

- e) under suspension, the client's management system certification is temporarily invalid.

在暂停期间，客户的管理体系认证暂时无效。

- f) MSC shall restore the suspended certification if the issue that has resulted in the suspension has been resolved. Failure to resolve the issues that have

resulted in the suspension in a time established by MSC shall result in withdrawal or reduction of the scope of certification.

如果造成暂停的问题已解决，MSC恢复被暂停的认证。如果客户未能在认证机构规定的时限内解决造成暂停的问题，MSC应撤销或缩小其认证范围。

## **6. Conditions and procedure of resuming certification qualification**

### **恢复认证资格的条件和程序**

#### 6.1 Conditions of resuming certification qualification

##### 恢复认证资格的条件

The evidentiary materials provided by certified organizations indicate that, effective corrective measures are taken against the causes of suspending certification qualification, the causes are removed, and the organization re-satisfies the certification requirements, including:

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) auditee was suspended because of not accepting surveillance audit within regulated time, should be attached with surveillance audit plan and report;

受审核方未在公司规定的时限内接受监督审核被暂停的，需附监督审核计划和监督审核报告；

- b) being suspended because of significant accident occurred, accident research analysis report(self and national relevant departments) and audit report of tracking audit against this accident carried out by MSC should be attached, and indicate that the corrections and corrective measures are fully effective;

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）以及公司就此事故进行追踪审核的审核报告，表明纠正及纠正措施充分有效；

- c) being suspended because of complaints, survey report against



complaints implemented by MSC and corrective materials and verification materials against complaint reasons taken by organization should be submitted;

因投诉被暂停的，需提交公司针对投诉的调查报告以及组织针对投诉原因采取的纠正措施及验证材料；

- d) being suspended because of not paying auditing fees, payment demonstration(such as copy of payment document) should be attached;

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) other submitted corrective materials or proving documents against reasons of suspending certificates.

其他针对暂停证书原因提交的纠正材料或证明性文件。

## 6.2 Procedure of resuming certification qualification

### 恢复认证资格的程序

- a) when the certified organization take effective corrective measures within suspension period, audit team should carry out tracking audit timely, to verify the effectiveness of its corrections/corrective measures. If it satisfies requirements, audit team will work out the conclusion of resuming certification qualification, and report to auditing department; after being reviewed by MSC decision-making team, and reporting it to general manager for approval, resuming certification qualification decision will be made. According to the results, auditing department shall fill in the 'Resuming certification decision notification' and send to certified organization.

当获证组织在认证暂停期间内采取有效纠正措施后，审核组应及时进行跟踪检查，验证其纠正/纠正措施的有效性。如符合要求，审核组提出同意恢复认证资格的结论意见，并上报审核部；经公司认证决定小组审定，并报总经理批准后，作出恢复认证资格的认证决定。审核部依据认证决定的结果，填写并向获证组织发送《恢复认证决定通知书》；

- b) general affairs department shall update certificate status on the website and

in the certified organization data.

综合部在公司网站上和获证组织数据库中更新证书状态。

## 7. Conditions and procedure of withdrawing certification qualification

### 撤销认证资格的条件和程序

#### 7.1 Conditions of withdrawing certification qualification

##### 撤销认证资格的条件

When there are evidences indicating that the management system of certified organization cannot meet the requirements of certification criteria continuously after being granted, and one of the following situation exists:

有证据表明获证组织的管理体系在获证后不能持续满足认证准则的要求，存在以下情况之一时：

- a) certified organization goes bankrupt, violates national regulation or other regulations of MSC seriously, the evidentiary material should be attached with specific demonstration of violating MSC regulations;

破产、严重违反国家法规、或公司有关规定的获证组织，证明材料须附违反公司规定的具体说明；

- b) the certified organization cannot take corrections effectively against problems within period of suspension, suspending certificate decision notification and report of tracking verification of non-conformity correcting should be attached;

获证组织在暂停资格的限期内未能有效地对问题实施纠正，须附暂停认证证书通知书及对不符合纠正情况跟踪验证的情况报告；

- c) to the suspending situations of cannot accept surveillance audit, the time limit of suspension went beyond the time limit regulated by ‘Suspending, withdrawing certification decision notification’, the evidentiary materials should be attached with suspending certification notification;

因不能按时接受监督审核被暂停的情况，认证证书暂停使用的期限超过《暂停、撤销认证决定通知书》中规定的暂停期限，证明

材料须附暂停认证证书通知书；

d) significant accidents occurred and influences quality, creating serious bad social influence;

发生影响质量的重大事故，造成严重不良社会影响的；

e) after being surveyed(audited), the cause of resulting in accidents is that the system has serious defects or the organization cannot carry out research and take effective corrective measures against the cause of significant accident within suspension period. The evidentiary materials should be attached with relevant survey analysis(audit) report;

经调查（审核）造成事故的原因是因为体系存在严重缺陷或组织未能在暂停期内就重大事故的原因进行调查并采取有效的纠正措施。证明材料须附相关调查分析（审核）报告；

f) the certified client requires to withdraw certificate voluntarily, the withdrawing certificate application with organization official seal should be attached. Other situations influencing management system validity, the evidentiary materials should be explained in detail.

获证客户主动要求撤销证书，需附组织撤销证书申请，并盖组织公章。其他重大影响管理体系有效性的情况，证明材料须具体说明。

## 7.2 Procedure of withdrawing certification qualification

### 撤销认证资格的程序

a) if the certified organization is found to exist the situation described in the 4.7.1 in the on-site audit, the audit team will set out recommend suggestion to withdraw certification qualification, and report relevant materials to auditing department; after being reviewed by MSC certification decision making team and report to general manager to be approved, the decision of withdrawing certification qualification will be made. According to the results, auditing department shall fill in and send to certified organization the ‘Suspending, withdrawing certification decision notification’.

现场审核过程中发现获证组织存在4.7.1条款所述情况，审核组提出撤销认证资格的推荐意见，并将相关资料上报审核部；经公司认证决定小组审定

通过并报总经理批准后，作出撤销认证资格的认证决定。审核部依据认证决定的结果，填写并向获证组织发送《暂停、撤销认证决定通知书》；

- b) if the certified organization is found to exist the situation described in the 4.7.1 in the off-site audit, auditing department should write the causes of withdrawing certification qualification into ‘Suspending, withdrawing and resuming certification decision application’, and report to general manager for review with attachment of relevant evidentiary materials in two work-days, work out ‘Suspending, withdrawing certification decision notification’(centralized standard edition alteration will be excepted), and send to certified organization.

非现场审核过程中发现获证组织存在4.7.1条款所述情况，审核部应将撤销认证资格的原因写入《暂停、撤销、恢复认证决定申请表》，并在2个工作日内按相关要求附相关证明材料，报总经理审批后，制作《暂停、撤销认证决定通知书》（标准集中换版除外），并向获证组织发送；

- c) general affairs department shall identify certificate status and require the organization to stop using certificates and certification symbols on MSC website and in certified organization data. MSC should ensure that the withdrawing information of certification qualification is available publicly, and take any other suitable measures. To the organizations which happened significant accidents, relevant information should report to accreditation body, please refer to ‘Management system certification information submission management procedure’.

综合部负责在公司网站上和获证组织数据库中标识证书状态并要求其停止使用认证证书和认证标志。公司应使认证资格的撤销信息可公开获取，并采取其认为适当的任何其他措施。对于组织发生重大事故的，相关信息需报认可机构，详见《管理体系认证信息报送管理程序》；

- d) if the certified organization is not willing to keep certification registration qualification within certificate validity period, application can be presented by authorizer in formal (with official seal), and return the original copy of certificate, and promise that they will not continue to use the certificate and symbol under

any situation, after carrying out the above approval process, the certificate will be withdrawn.

获证组织在证书有效期内不愿继续保持认证注册资格时，可以由其授权人正式（盖公章）提出申请，交还证书原件，并保证不在任何场继续使用认证证书及标志，经公司执行上述审批手续后撤销证书。

## **8. Automatic avoidance of certificate**

### **证书的自动失效**

To the certified organization that certificate automatic avoidance expire, general affairs department will identify with 'lose efficacy' in the certified organization data according to certificate directory, and display in the internet information inquiry.

对于到期自动失效的获证组织，综合部依据失效证书名录在获证组织数据库中加以“失效”标识，并显示在网络信息查询中。