

<p>广州大中认证有限公司</p> <p>Dazhong (Guangzhou) Certification Co., Ltd.</p>	<p>编号 No.:</p> <p>DZ-QP-03</p>
<p>授予、拒绝、维持、更新、暂停、恢复、或撤销认证、 或扩大或缩小认证范围控制程序</p> <p>granting, refusing, maintaining, renewing, suspending, restoring, or withdrawing, expanding, reducing of certification scope control procedure</p>	<p>页码 Page:1</p>

1.目的和范围 purpose & scope

本程序规定了管理体系认证注册资格的授予、拒绝、维持、更新、暂停、恢复、或撤销认证、或扩大或缩小认证范围的条件和工作要求。

This procedure provides the conditions and requirements for granting, refusing, maintaining, renewing, suspending, restoring, or withdrawing, expanding, reducing of certification scope of the management system certification registration.

2.职责 responsibilities

2.1 审核部负责提供认证审核、监督审核和再认证审核结果的全部资料；

2.2 市场部负责提供对获证客户日常监督的信息；

2.3 技术部负责组织安排认证决定人员对注册资格的授予、拒绝、维持、更新、暂停、恢复、或撤销认证、或扩大或缩小认证范围的审议管理；并负责最终批准处理决定。

2.4 管理部负责对注册资格的授予、拒绝、维持、更新、暂停、恢复、或撤销认证、或扩大或缩小认证范围的相关通报。

2.1 the audit department is responsible for providing all the information of certification audit, supervision audit and re certification audit results;

2.2 the marketing department is responsible for providing information of the daily supervision to the certified customers;

2.3 the technical department is responsible for arranging certification decision person to review and manage the granting, refusing, maintaining, renewing, suspending, restoring, or withdrawing, expanding, reducing of certification scope, and responsible for final approval of the decision;

2.4 the management department shall be responsible for the relevant notification of the granting, refusing, maintaining, renewing, suspending, restoring, or withdrawing, expanding, reducing of certification scope

3.实施程序 operating procedure

3.1 认证注册资格的授予、更新(更新适用于再认证)The granting and renewing of the certification registration (renewing is applied to re-certification)

3.1.1 授予、更新认证资格的条件the conditions of granting and renewing certification registration

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3.1.1.1 技术部组织认证决定人员根据客观证据进行评价，并在此基础上由总经理最终审批。

Technology Department arrange certification decision personnel to evaluate according to the objective evidence, and submit to general manager for final approval

审核组应向认证决定人员提交以下信息：

The audit team shall submit the following information to certification decision personnel:

- a) 审核计划及审核报告； audit plan and audit report;
- b) 对是否授予认证的推荐性意见及附带的任何条件或评价； the recommendation on whether grant the certification and attached any conditions or evaluation;
- c) 对申请材料中相关信息的符合性、准确性的确认意见； confirmation opinion on the relevant information conformity and accuracy of the application materials;
- d) 不符合报告及其纠正措施有效性证据以及认证和关闭意见和确定已改善不符合事项； validity evidence for the NC report and its corrective action and the closing comments and determine the improvement items;
- E) 审核记录及其他相关证实性材料。 audit records and other relevant supporting materials.

3.1.1.2 在此基础上，具体应符合： On this basis, the specific should be consistent with:

- a) 受审核方的管理体系文件基本符合标准要求； The management system documents of the auditee is basically in line with the requirements of the standard
- b) 受审核方的管理体系运行基本有效； the management system running of the auditee is basically effective.
- c) 受审核方的产品质量/环境影响/危险源控制/食品安全管理等方面符合法律法规和有关标准, 无违法违规、突发事件； The auditee product quality / environmental impact / hazard source control / food safety management is complied with laws and regulations and relevant standards, no violation of laws and regulations, unexpected accidents
- d) 所有不符合项纠正措施均在规定期间内完成并经审核组验证有效； All non-conformance corrective actions are completed within the specified period and verified by the audit team.
- e) 在审核中发现的受审核方的严重不符合不超过两项，且在审核组规定的期限内（最长不超过六十个工作日），已实施了纠正和纠正措施，并经验证有效。 not more than 2

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major NC items found in audit, and all the NC items have been taken corrective actions and verified effectively within the prescribed period (no more than 60 working days at the longest)

3.1.2 工作程序 work procedure

3.1.2.1 审核组长向审核部提交现场审核结果的全部资料，资料必须齐全且受审核方的所有不符合项纠正措施经审核组长验证有效(纠正措施有效性验证应在审核组长收到受审核方纠正措施后的一周内完成)。audit team leader shall submit all the on-site audit result materials to audit department, the material must sufficient and all non conformance corrective actions must be verified by audit leader (the effectiveness of corrective actions should be within one week after the leader receiving corrective measures)

3.1.2.2 技术部接到审核部提交的审核结果全部资料后，选择认证决定人员进行审议；认证决定人员经大中授权，并记录于《DZ-FM-81《DAZHONG各类认证人员清单》》名单中，要求如下：after receiving all the information, technology department will select certification decision personnel to review; the certification decision personnel requirements are as follows

a. 参与认证决定人员的资格，应符合公司的有关规定要求；Participate in the qualification of the certification decision, should meet the relevant requirements of the company

b. 认证决定人员必须具备相应大类资格，当受审核方专业范围跨类时，可补充技术专家或专业审核人员予以支持；The certification decision personnel must have the corresponding categories qualification, when the auditee business area is beyond the professional range, then technical experts or professional auditor can be added to support

c. 认证决定人员应与该项审核活动无关。Certification decisions personnel should be independent of the audit activities

3.1.2.3 认证决定人员在确认审核组提供的认证推荐项目的全部数据和受审核方的其他信息没有问题后，填写相应DZ-FM-21《审核卷宗、流程评价及认证决定表》，作出是否同意认证注册的推荐结论。After confirming all the material provided by audit team is OK, certification decision personnel will fill in the corresponding DZ-FM-21《Certification decision for audit files and process evaluation》, and decide whether recommend certification registration conclusion.

3.1.2.4 大中总经理根据认证决定人员的结论，签署相应的DZ-FM-21《审核卷宗、流程评价及

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认证决定表》，审批后由大中总经理签发认证文件（即证书）。according to the certification decision conclusion, DAZHONG GM signs the DZ-FM-21 《Certification decision for audit files and process evaluation》, and approves the certification document (i.e. certificate).

3.1.2.5 管理部接受到大中总经理签发的DZ-FM-21《审核卷宗、流程评价及认证决定表》后进行相应证书印制及登录工作，并将证书转交给市场部，由市场部快递给受审核方。after receiving the the DZ-FM-21 《Certification decision for audit files and process evaluation》 approved by GM, management department will print corresponding certificate, and forwarded to the marketing department, the marketing department will deliver it to the auditee.

3.1.2.6 管理部在公司网站上公布授予或更新认证的组织名录并在颁发认证证书后，在 30 个工作日内按照规定的要求将认证结果相关信息报送国家认监委。
Department of Management in the company's website to grant or update the certification of the organization directory and issued certification certificate, within 30 working days in accordance with the requirements of the certification results of the relevant information submitted to the CNCA.

3.2 认证注册资格的维持 maintain the qualification of certification

3.2.1 认证注册资格维持的条件 Conditions of maintaining certification registration qualifications

- 获证方的管理体系运行良好，无严重不符合；the management system is running well, no major non conformity;
- 获证方上次审核的所有不符合纠正措施保持有效；the corrective action for last audit maintain effective;
- 获证方的证书和标志使用符合规定要求；The certificate and the use of the logo meet the requirements;
- 产品质量稳定、环境监测无违法超标、无环境与职业健康安全重大事故、无重大食品安全事件发生、无顾客/相关方重大投诉；product quality stability and no illegal in environmental monitoring, no major accidents on environmental and occupational health and safety, no major food safety incidents occurred, no customer / related party major complaints;
- 不符合纠正措施在规定期内提交审核组验证有效。corrective action is submitted to the audit team within the specified period. and validated OK

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3.2.2 维持认证资格的审批程序approval process of maintaining certification

3.2.2.1 审核部收到监督审核的全部资料，在对获证方所有不符合纠正措施验证有效后，提交技术部选择DZ认证决定人员进行审议。审核组对获证方不符合纠正措施的验证应在收到获证方纠正措施后的一周内完成。若由于受审核方纠正措施不到位，应立即通知受审核方再提交，超出期限的应有充分理由，并作出书面说明。after receiving all the surveillance audit material including all the NC items are closed, audit department will submit to the certification decision personnel to review and make the certification decision. The audit team shall be completed the NC verification within one week after receiving the corrective action。 If the corrective action is not OK, he shall immediately notify the auditee to submit again, and provide sufficient reason, and make a written note.

3.2.2.2 DZ认证决定人员对审核材料进行审核审议或对审核组推荐性意见进行确认，以决定是否维持认证资格。大中认证决定人员在确认审核组提供的认证推荐项目的全部资料和受审核方的其他信息没有问题后，填写相应DZ-FM-21《审核卷宗、流程评价及认证决定表》，作出是否同意维持认证注册的结论。DAZHONG certification decision personnel review the audit file and the audit team recommendation opinion, and decide whether maintain certification。 After confirming all the material provided by audit team is OK, DZ certification decision personnel will fill in the corresponding DZ-FM-21《Certification decision for audit files and process evaluation》, and decide whether recommend certification registration conclusion.

3.2.2.3 后续认证决定等工作执行 3.1.2.4-3.1.2.6 条款流程。subsequent certification decisions work will be implemented the 3.1.2.4-3.1.2.6 terms of the process

3.2.2.4若出现可能导致暂停或撤销认证的不符合事项或其他状况，审核组长应向审核部报告，审核部将委派具有适当能力，且不同于执行审核的人员办理审查，以决定是否能够保持认证，并且由大中公司有能力的监督其审核活动，包括监督其审核员，以确认认证活动有效地运作。If it is possible to suspend or withdraw the certification caused by major NC or other status, the audit leader will report to audit department, the audit department will appoint competent person that different from the audit staff to decide whether to maintain certification, and DZ will assign competent personnel to supervise the audit activities

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including the supervision of its auditor, to confirm the effective operation of the certification activities.

3.3 认证注册资格的暂停 suspension of certification registration

3.3.1 获证客户有下列情形之一的，在调查核实后的5个工作日内暂停其认证证书。If a certified customer has one of the following circumstances, its certification certificate shall be suspended within 5 working days after investigation and verification.

- a) 监督审核时，发现管理体系存在严重不符合，影响管理体系符合性和有效性；major NC during surveillance audit, which is affecting the management system compliance and effectiveness;
- b) 监督审核后，不按审核组规定提交不符合项的纠正和纠正措施及实施结果或纠正措施经验证无效；after the surveillance audit, corrective actions and result are not provided in accordance with the audit provisions or the corrective action is invalid;
- c) 不按规定要求使用认证证书和标志，经指出后仍未纠正；use certificates and signs illegally, and not corrected after pointing out;
- d) 不承担、履行认证合同约定的责任和义务的。Failing to undertake or perform the responsibilities and obligations stipulated in the certification contract.
- e) 被有关执法监管部门责令停业整顿的；suspend business for rectification of law enforcement by supervision departments;
- f) 持有的与质量管理体系范围有关的行政许可证明、资格证书、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；the administrative license certificate, certificate of qualification, mandatory certification related the quality management system scope is expired expired, and the reapplication has been accepted but not yet replaced;
- g) 获证客户必须按要求的频次实施监督或再认证审核；the licensed client must conduct supervision or recertification audits as frequently as required;
- h) 获证客户主动请求暂停；certified customer request to suspend;
- i) 其他应当暂停认证证书的。other status of certificates suspending.

3.3.2 发出暂停时获证客户的管理体系认证暂时无效，按下述程序处理：when certified customer is issued a suspension, the management system certification is temporarily invalid, according to the following procedures:

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a) 审核组根据 3.3.1a)等情况，在审核现场决定暂停的，由审核组长提出书面报告，经总经理批准，审核部下达DZ-FM-31-1《认证资格暂停通知函》。当暂停恢复时，审核部将DZ-FM-33《恢复认证资格通知书》报总经理批准后寄给获证企业。according to 3.3.1a, when decided suspending during on site audit, the leader submit a written report, approved by the general manager, the audit department issued the DZ-FM-31-1 《Suspension certification notice》. When the suspending is renewed, the Audit Department will issue DZ-FM-33

《Renewing certification notice》to the general manager for approval, and send to the certified client

b) 发生 3.3.1.e)情况时，由审核部派专业审核组进行调查、审核、提出整改要求限期改进，届时由专业审核组确认，必要时按 3.3.2 a) 处理；when 3.3.1.e)happened, the audit department appoint a professional audit team to investigate, review, and put forward the rectification requirements for improvement, then the professional audit team confirm and handle, according to a 3.3.2 when necessary

c) 认证审议中做出暂停决定的，由审核部根据决定，下达DZ-FM-31-1-1《认证资格暂停通知函》； when suspending certification is decided, the audit department issued a DZ-FM-31-1-1 《Suspension certification notice》 according to the decision,

d) 受审核方不按期提交不符合项纠正和纠正措施实施报告的，审核组做出多次催促不提交书面说明，应反映到审核部。审核部再次催交、沟通、仍不提交的做出暂停建议，下达DZ-FM-31-1-1《认证资格暂停通知函》； if the auditee does not submit the corrective actions report, or not submit a written note after audit team reminding several times, the audit department will make repeated urging, if there is still no response, will make decision of suspending suggestion, the audit department will report to GM for approval, and issue DZ-FM-31-1 《Suspension certification notice》；

e) 发生 3.3.1c)、d)、f)、g) 及其他情况的，由审核部下达DZ-FM-31-1《认证资格暂停通知函》； in the circumstances of 3.3.1c)、d)、f)、g) or others, the audit department issue DZ-FM-31-1 《Suspension certification notice》；

f) 当发生3.3.1d) h) 情况的，则由总经理直接作出暂停、撤销的认证决定。

When 3.3.1d) h)occurs, the General Manager shall directly make a decision to suspend or

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revoke the certification.

g) 管理部将暂停认证资格的组织名录在公司网站上公布，准确标识其“证书状态”及“暂停期限”同时按规定程序和要求报国家认监委。 the management department will suspend the certification of the organization list published on the company's website, the accurate identification of its "certificate status" and "suspension period" at the same time according to the prescribed procedures and requirements to the CNCA.

3.3.3 认证证书暂停期一般为3—6个月。但属于3.3.1（f）项情形的暂停期可至相关单位作出许可决定之日。 Certification suspending period is generally 3~6 months. But in the case of 3.3.1 (f) suspending period may be postpone to the date of the certification decision。

3.3.4 上述暂停后因获证组织后续整改或要求恢复的，公司对该组织进行恢复受理，以监督审核要求进行审核或者暂停恢复审核也可单独进行。 if the organization for subsequent rectification or request for recovery after the suspension is certified, the Company shall accept the recovery of the organization to supervise and review the requirements for the audit or the suspension of the recovery of the audit may be carried out separately.

3.4 认证注册资格的撤销或缩小认证范围withdrawing or or reducing the scope of certification

3.4.1 获证客户有下列情况之一时，将被撤销或缩小认证范围： certified customer will be withdrew and reduced the scope of certification in the following situation:

a) 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、资格证书、强制性认证证书等已经过期失效但申请未获批准）； the suspending of the certificate has expired but the problem has not been solved or corrected (including quality management system related administrative license, qualification certificate, mandatory certification has expired but the application is not approved);

b) 获证客户管理体系严重失效，经监督审核确认不能继续保持正常运行，且在3月内无法纠正； certified customer management system is a serious failure, the surveillance audit confirmed that can not continue to maintain normal operation, and can not be corrected within 3 March;

c) 被注销或终止法律地位证明文件的； canceled or revoked of the legal status of the document

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d) 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 judged and put in “lost credit enterprise list” by the State Administration of quality supervision, inspection and quarantine

e) 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的； refused to cooperate with the supervision and inspection of the certification authority, or provide false materials or information on the matters relating to the inquiry and investigation;

f) 拒绝接受国家产品质量监督抽查的； refused to accept the national product quality supervision and sampling;

g) 出现重大的产品或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； major quality and safety accidents in the quality of products or services, and caused by the organization illegal activities confirmed by law enforcement and regulatory authorities

h) 有其他严重违反法律法规行为的； other serious violations of laws and regulations;

i) 没有运行控制系统或者已不具备运行条件的； does not run the management system or has no running conditions;

j) 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； does not comply the relevant provisions of the correct reference and publicity the certification information, resulting in serious consequences, or certification bodies has required to correct but it has not corrected more than 2 months;

k) 其他应当撤销认证证书的。 other situations that should withdraw the certificates

3.4.2 审核组根据 3.4.1a)、b) 情况，分析获证客户是否在认证范围某些部分发生严重不符合或重复发生不符合，必要时可缩小其认证范围，以排除不满足要求的部分，但缩小认证范围的管理体系仍应符合标准要求。审核组长在经获证客户同意后提出报告报审核部处理。 according to 3.4.1a), b), audit team analysis whether certified clients has some major NC items or repeated NCs, reduce the scope of certification if necessary, to exclude the part not meeting the requirements, but after reducing the scope of certification, the management system should meet the standard requirements. The audit leader shall submit the report to the audit department after confirmed with the customer.

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3.4.3 审核组根据 3.4.1a)、b) 情况, 发生 3.4.1.c、d)情况时, 由审核部派专业审核组进行调查、审核、提出整改要求限期改进, 届时由专业审核组确认, 必要时按 3.4.2 处理。in the situation of 3.4.1.c, d), according to 3.4.1a), b), the audit department will appoint professional audit team to conduct investigation and rectification requirements, and then confirmed by the professional audit team, and deal with it as 3.4.2requirement when necessary.

3.4.4 当管理体系不能缩小认证范围, 公司做撤销或暂停处理时, 由审核部提交DZ-FM-32《认证资格暂停/撤销/恢复处理审批表》由审核部组织调查确认签字, 报管代批准。市场部制作DZ-FM-31-1《认证资格暂停通知函》或 DZ-FM-31《认证资格撤销通知函》发送给获证客户。当暂停恢复时, 审核部将DZ-FM-33《恢复认证资格通知函》报总经理批准后寄给获证客户。When the management system certification scope can not be reduced, and the company will suspend the certification, audit department will submit DZ-FM-32《Suspending/Withdrawing/Renewing certification approval form》, audit department and technical department organize investigation、confirmation and signing, approved by the MR. The marketing department make the DZ-FM-31-1《Suspension certification notice》or DZ-FM-31《Revocation certification notice》and send to the customer. When renewing the suspending certification, the audit dept. will issue DZ-FM-33《Renewing certification notice》to general manager for approval, and then send to the customer.

3.4.5 管理部人员将《认证资格暂停通知函》或《认证资格撤销通知函》用公司邮箱发送至企业联系人邮箱。无法发送的, 将暂停或撤销认证资格的组织名录公布在公司网站上, 准确标识其“注册状态”, 同时按规定程序和要求在暂停或撤销5日内上报国家认监委。the management department shall send the "Notification Letter of Suspension of Certification" or "Notification Letter of Revocation of Certification" to the email address of the contact person of the enterprise through the company mailbox. If it cannot be sent, it shall publish the list of organizations whose certification is suspended or revoked on the company's website, accurately identify its "registration status", and report to the CNCA within 5 days of suspension or cancellation according to the prescribed procedures and requirements.

3.4.6 撤销认证证书后, 管理部将及时通知客户寄回撤销的认证证书。若无法收回, 管理部在

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20 个工作日内在相关媒体和网站上公布或声明撤销决定。after withdrawing certification, the management department will promptly notify the customer to send back the withdrew certificate. If unable to take back, the management department will publish or declare this decision on related media and website within 20 working days

- 3.5 当任何团体（或个人）请求时，管理部应正确地说明客户的管理体系认证暂停、撤销或缩小的状况。when requested by any group (or individual), the management department should correctly explain the situation of the customer's management system certification suspending、withdrawing or reducing status
- 3.6 若市场部收到客户关于已授予认证范围的扩大申请，应作出响应并进行申请审查，以及决定任何必要的审核活动，以决定是否可授予扩大范围。此项作业可与监督审核一并执行。if the marketing department receives a client's application for the expansion of the certification scope, it shall respond and apply for the review, and determine any necessary audit activities, to determine whether the expansion scope can be granted. This operation can be performed with the surveillance audit.
- 3.7 认证注册资格的拒绝：客户申请的认证范围是否在本公司的认证范围内。如不在认证范围内，首先需与管理者代表沟通，该项目属于哪个专业类别，然后在认证管理系统内查询公司有无满足该申请项目的相应专业能力的人员，最后和客户沟通颁发不带第三方认可标志的DAZHONG证书，如公司不具备满足该申请项目的相应专业能力的人员或客户不同意不带认可标志的DAZHONG证书的，则作为申请失败处理。Verify the rejection of the registration status: whether the scope of the client's application is within the scope of the company's certification. If it is not within the scope of certification, the first need to communicate with the deputy general manager, the project belongs to which professional category, and then in the verification management system to inquire whether the company has to meet the application of the corresponding professional capacity of the project staff and customer communication The DZ certificate of the manufacturer's certification mark, if the company does not have the corresponding professional ability to meet the application of the project or the customer does not agree with the certification mark of the DZ certificate, as the application failed to deal with.
- 3.8 本程序涉及认证证书的颁发、恢复、停用和作废、收回及认证标志的使用和停用等要求，按DZ-WI-20《公开文件-认证证书及认证标志使用规则》办理。this procedures involves the

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requirement of certificate granting、renewing、suspending、withdrawing、taking back, and the use of certification marks, which is conducted according to the DZ-WI-20 《public document-certification certificate and certification mark usage rules》 .

4.引用文件Reference Documents

4.1 DZ-QP-02 《认证审核程序》 Certification Audit Procedure

4.2 DZ-WI-19 《公开文件-认证证书及认证标志使用规则》 public document- certification certificate and certification mark usage rules

5.使用表单Forms

5.1 DZ-FM-21 《审核卷宗、流程评价及认证决定表》 Certification decision for audit files and process evaluation

5.2 DZ-FM-32 《认证资格暂停/撤销/恢复处理审批表》 Suspending /Withdrawing/Renewing certification approval form

5.3 DZ-FM-31 《认证资格撤销通知函》 Revocation certification notice

5.4 DZ-FM-31-1 《认证资格暂停通知函》 Suspension certification notice

5.4 DZ-FM-33 《恢复认证资格通知书》 Renewing certification notice

5.5 DZ-FM-81 《DAZHONG各类认证人员清单》 DAZHONG certification personnel list