

<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-WI-15</p>
<p>公开文件—保密性管理规定</p> <p>confidentiality management rules</p>	<p>页码 page:1</p>

1 目的 Purpose

遵照有关法律法规，对大中对在认证活动中获得的信息保密，以保护受审核方或委托人的权益及维护大中的信誉。We assure all information got from assessment process will be kept absolutely confidential, for protecting supplier and application's right and interest and also company's reputation.

2 范围 Scope

本规定适用于大中所有人员（含管理委员会委员、以大中名义工作的外部人员）。This document is applicable to all DAZHONG staff (contain management committee, work in the name of DAZHONG)

3 职责 Responsibility

大中总部及分场所负责实施,相关主管人员有责任保证本规定的有效执行。All DAZHONG staff should keep this document be carried out smoothly.

4 规定 Provision

4.1 须保密的信息包括：Following information must be keep confidential.

- a) 申请人提交的数据及文件；Submitted material and document of application.
- b) 审核中所获取的有关信息、不符合项报告、审核报告及相关记录；Reference information, non-conformity report, assessment report and reference record.
- c) 申请人要求进行保密的信息；Application required information.
- d) 本机构管理体系文件及有关的信息；our company's document and reference information.
- e) 不是来自于客户（例如投诉者或法规管理者）有关客户的信息Other information not from customer, such as complainer and legal supervisor
- f) 涉及保密的其他信息。Other information related the confidentiality

4.2 保密信息分级：Classification of confidential information

保密信息根据需保密程度，涉及范围及泄密影响性，划分为重要保密信息和普通保密信息。公司内部人员信息（含审核员、管理人员、技术专家等）、审核档案信息（含申请评审、审核方案管理、审核现场资料、受审核方申报资料等）、大中管理体系文件为重要保密信息；大中接收外来文件、内部公告通知文件、宣传资料等为普通保密信息。Confidential information

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is classified into important confidential information and general confidential information according to the degree of confidentiality, the scope of involvement and the impact of leakage. The company's internal personnel information (including auditors, managers, technical experts, etc.), audit archives information (including application review, audit program management, audit site data, audited party declaration information, etc.), DAZHONG management system documents as important confidential information. DAZHONG receives foreign documents, internal notices, notices, publicity materials, etc. as confidential information.

重要保密信息和普通保密信息均应参照本文件4.3—4.5条款规定执行；电子类型保密信息应参照DZ-QP-17《电子化文件管理程序》进行管理。Important confidential information and general confidential information shall be implemented in accordance with the provisions of articles 4.3 to 4.5 of this document; Electronic type confidential information should be managed in accordance with the DZ-QP-17 electronic document control procedure.

4.3 保密安排Arrangement of confidentiality

4.3.1 大中总部及分场所，应妥善保管4.1的文件、资料与记录，并将其放置在专属文件柜内，任何人不得抄录复制，也不得在任何场合以任何方式扩散和传播。DAZHONG headquarters and site offices should be properly kept 4.1 documents, materials and records, and place them in the appointed file cabinets, nobody can copy or diffuse and spread in any way on any occasion

4.3.2 非认证活动需要，未经批准，所有人员不得将需保密的信息私自从工作场所带出。Without approval, all staff shall not be allowed to carry confidential information out from workplace, except for assessment need.

4.3.3 进行现场审核时，审核组组长应向受审核方申明本机构的保密规定。Assessor leader shall declare company's confidential rules to customer when perform on-site assessment.

4.3.4 审核组所有成员，在现场审核中借用的各类文件和资料，待审核结束必须全数还清，不得留做他用。To all assessors, all materials and documents used in assessment activity shall be returned after on-site assessment, can't be used for other purpose.

4.3.5 审核组所有成员，在现场审核时不得以个人名义向受审核方索取任何文件和资料。
to all assessors, can't request any document and material in name of personal.

4.3.6 对认证审核所了解的受审核方管理及技术资料严格保密。

keep confidential for all management and technical document of customer.

4.3.7 在体系记录的鉴别、管理和处理过程中应注意数据的保密性。

keep confidential for information when input in DZ work system

广州大中认证有限公司 Dazhong (Guangzhou) Certification Co., Ltd.	编号 No.: DZ-WI-15
公开文件—保密性管理规定 confidentiality management rules	页码 page: 3

4.3.8 审核组组长应在末次会议上向受审核方告知该组织的相关证书信息将被放在大中网站上向社会公开，证书信息包括客户（或多场所认证范围内之总部及任何场所的地理位置）之名称、相关的规范性文件、范围及地理位置。所有其他信息，除了客户可以公开之信息以外，都将予以保密。 Assessor leader should inform the customer in the last meeting that relevant certificate information will be placed on DAZHONG website publicly. Certificate information including customer's company name (or multiple sites are within the scope of assessment by headquarters and any area location) , relevant regulatory documents, scope, and geographic location. All other information will be confidential except assessed company permit to public.

4.3.9 披露保密信息的注意事项: Note for the disclosure of confidential information:

- a) 当由于工作需要将机密信息提供给其他认可机构、同行评审方案的协议团体时，应将此项措施通知客户，并得到客户书面同意。 When the confidential information must be provided to other accreditation bodies, peer group assessment scheme of the agreement, shall notify the activity to the customer, and get the official permission of the customer.
- b) 当在履行法定责任时需要提供客户之机密信息时除法律另有规定，否则应将所提供之信息预先通知相关客户或个人。 When fulfill the legal responsibility, need provide the confidential information of the customer, should notice related customers or person, unless defined in law provision.

4.4 保密承诺 confidentiality commitment

4.4.1 大中所有人员均应签署DZ-FM-43《公正性与保密承诺书》,并对接触的有关信息予以保密。

DAZHONG all staff should sign the DZ-FM-43《Impartiality and confidentiality undertaking》, and assure keeping relevant information confidential.

4.4.2 参与审核之相关人员在参加审核前应做出公正性承诺。

all relevant participate in the assessment should commit the fairness before perform the assessment.

4.4.3 在认证活动中，为避免外聘的审核员或专家与申请人（或已认证的受审核方）存在利益关系，应事先向申请人提供外聘人员的专业背景数据和所在机构的信息，以征得申请人的同意。否则，外聘人员应回避参与相关认证活动或不能接触有关文件与资料。

During the assessment performance, for avoiding external assessor or expert have interest relationship with the customer, shall notify the customer, and provide external personnel's professional background and the organization's information to the customer. Otherwise, the external

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personnel can't perform the assessment or avoid contacting relevant documents and materials.

4.5 凡违反本规定而造成后果，由责任人负责。大中总部将根据情节轻重给予其行政处分直至追究法律责任。Whoever in violation of these provisions and cause consequences shall undertake the responsibility. DAZHONG headquarters will punish the responsible person and investigate legal responsibility.