

# 授予、拒绝、保持、更新、扩大、缩小、暂停和撤销认证的 管理程序

## Management Procedure for Granting, Denying, Maintaining, Updating, Extending, Reducing, Suspending and Withdrawing Certification

### 1 认证的批准与拒绝

#### Approval and rejection of certification

审核组确认受审核方已进行了一次覆盖标准全部要求的完整内部审核和管理评审，并且内部审核和管理评审的有效性得到验证，审核组在认证审核报告中同意推荐注册。经技委会对审核组提交的管理体系认证审核的相关记录审查合格后，提交认证决定人员进行审定。经认证决定人员审定过的资料，若满足认证要求，由本机构总经理/授权人签发认证证书，具体执行《认证决定管理程序》的规定。当在初审或再认证审核过程中发现受审核方不满足认证的要求，且无法采取措施，则不应批准受审核方认证证书，且将不批准的理由告知受审核方。

The audit team confirms that the audited party has carried out a complete internal audit and management review that covers all the requirements of the standard, and the effectiveness of the internal audit and management review has been verified, and the audit team agrees to recommend registration in the certification audit report. After the technical committee of the audit team submitted the management system certification audit related records review qualified, submitted to the certification decision personnel for review. The information examined by the certification decision personnel, if meet the certification requirements, issued by the general manager/authorized person certification certificate, the specific implementation of the "certification decision management procedures" provisions. When it is found that the auditee does not meet the certification requirements during the preliminary audit or recertification audit and cannot take action, it should not approve the auditee's certification certificate and should inform the auditee of the reasons for the disapproval.

### 2 认证的保持

#### Maintenance of certification

本机构管理体系认证证书的有效期不超过三年(FSC-COC 认证证书有效期不超过五年)。作为最低要求，在初次认证审核后的 12 个月内应进行一次监督审核。此后，应至少每个日历年进行一次监督审核，且两次监督审核的间隔不得超过 15 个月。在认证证书有效期期满前三个月，获证组织须向本机构提出重新认证（再认证）的申请。在认证证书有效期内，如获证组织的管理体系变更时，或管理体系认证所依据的管理体系标准变更时，应当重新申请监督或再认证。

The validity of the management system certificate of the institution should not exceed three years (the validity of the FSC-CoC certificate should not exceed five years). As a minimum requirement, a supervisory audit should be conducted within 12 months of the initial certification audit. Thereafter, the monitoring audit should be conducted at least once per calendar year, and the interval between the two monitoring audits should not exceed 15 months. 3 months before the expiry of the validity period of the certification certificate, the certified organization should submit an application for recertification (recertification) to the body. In the validity period of the certification certificate, such as the organization's management system change, or management system certification based on the management system standard change, should re-apply for supervision or recertification.

### 3 认证范围缩小

The scope of certification is narrowed

如果获证组织在认证范围的某些部分持续地或严重地不能满足认证要求，我机构将会排除不满足的部分，缩小其认证范围。

If the accredited organization persistently or significantly fails to meet the certification requirements in some areas of the certification scope, our organization will exclude the non-meeting areas and reduce the certification scope.

3.1 当组织的产品/服务范围或组织结构因某种原因有所缩小时，组织应通知公司。或在监督审核时，审核组发现组织的范围已缩小时，应与组织协商，确认是否缩小认证范围。

When the scope of the products/services or the organizational structure of the organization is reduced for some reason, the organization should notify the company. Or in the supervision and audit, the audit team found that the scope of the organization has been reduced, should be negotiated with the organization, confirm whether to reduce the scope of certification.

3.2 缩小后的认证范围应满足独立认证的条件。如在公司办公室内无法核实或经核实不能确定缩小后的认证范围是否满足独立认证条件时，应结合监督审核或安排特别监督审核进行现场确认。

The reduced certification scope should meet the conditions of independent certification. If it is impossible to verify in the company office or can not be determined after verification whether the reduced scope of certification meets the conditions of independent certification, it should be confirmed on the spot in combination with supervision audit or special supervision audit.

#### 4 认证范围扩大

The scope of certification is expanded

当申请方申请扩大获证组织原有管理体系认证范围时，需提供变更的体系文件和相应的资料，客服部受理后按合同评审的规定，转交有关部门进行评审和安排审核。

When the applicant applies to expand the scope of the original management system certification of the authorized organization, it should provide the changed system documents and the corresponding materials. After the customer service department accepts the application, it will transfer it to the relevant departments for review and review according to the provisions of contract review.

4.1 本机构将委派审核组对获证组织管理体系文件及管理体系运行是否覆盖了需扩大的认证范围进行审核，并提交现场审核的相关资料，经资料审查合格、认证决定人员审定后，如需扩大的认证范围满足认证要求，本机构将为其颁发经扩大认证范围的管理体系认证证书。

This institution will appoint the CRB assessment teams on the certification organization and management system management system documents whether to cover the need to expand the scope of certification review, and submit relevant materials, on-site audit after examination, the information personnel certification decision after examination and approval, if you want to expand the scope of certification of meet the certification requirements, this institution will be awarded for its by expanding the scope of the certification management system certification.

#### 5 认证证书/认证标志的暂停

Suspension of certification certificate/certification mark

##### 5.1 暂停准则

Suspension Criteria

有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，本机构将在调查核

实后及时暂停其认证证书。本机构要求认证证书持有者暂停使用认证证书和认证标志，一般暂停期限为 1-6 个月，但属于第 6.1.3 (c) 项情形的暂停期可至相关单位作出许可决定之日。对于特殊的获证组织，比如明确放弃证书的、体系运行严重失效等情况，本机构可不办理暂停手续而直接撤销组织的获证证书。

In case of any of the following circumstances that may affect the continued validity and credibility of the certification, the certification certificate will be temporarily suspended after investigation and verification. The Agency requires the holder of the certification certificate to suspend the use of the certification certificate and certification mark. The general suspension period is 1-6 months, but the suspension period under the circumstances of Item 6.1.3 (c) may be up to the date of the approval decision by the relevant authority. For special certificated organizations, such as the clear abandonment of the certificate, the system operation is seriously invalid, the organization can not handle the suspension procedures and directly revoke the certificate of the organization.

6.1.1 管理体系持续或严重不满足认证要求，包括对管理体系运行有效性要求的；

The management system persistently or seriously fails to meet the certification requirements, including the requirements for the operation effectiveness of the management system;

6.1.2 不承担、履行认证合同约定的责任和义务的；包括但不限于以下内容：

does not undertake or perform the responsibilities and obligations agreed in the certification contract; Including but not limited to the following:

a) 未按《认证证书及标志使用规则》要求使用本中心签发的管理体系证书和认证标志；

A) Fail to use the management system certificate and certification mark issued by the Center according to the requirements of the Rules for the Use of Certification Certificates and Marks;

b) 管理体系发生重大变更已不满足原认证覆盖范围要求，未及时通知本机构得到妥善处理；

B) There is a major change in the management system which fails to meet the requirements of the original certification coverage and fails to notify the institution in time for proper handling;

c) 未按规定及时交纳有关认证费用；

C) Failure to pay relevant certification fees in time as required;

d) 不能在规定的时限内接受监督审核、特殊审核。但在获证组织达到监督审核期限而有证据表明获证组织暂不具备实施监督审核的条件时，可以适当延长监督审核期限，但最长间隔不能超过 15 个月；

D) Can not accept supervision audit and special audit within the specified time limit. However, when the certified organization has reached the time limit of supervision and audit and there is evidence that the certified organization does not have the conditions to implement supervision and audit temporarily, the supervision and audit time limit can be appropriately extended, but the longest interval can not exceed 15 months;

e) 不接受或不配合本机构组织实施的认证有效性内部稽查、国家主管部门组织实施的监督检查;

E) Failing to accept or cooperate with the internal audit on the validity of certification organized by the institution and the supervision and inspection organized by the national competent authority;

6.1.3 其他违反与本机构签订的合同及其协议的规定;

otherwise violates the provisions of the contract and agreement signed with the Agency;

a) 被有关执法监管部门责令停业整顿的;

A) It is ordered to suspend business for rectification by relevant law enforcement and supervision authorities;

b) 被地方认证监管部门发现体系运行存在问题, 需要暂停证书的;

B) It is found that there are problems in the operation of the system by the local certification supervision department and the certificate needs to be suspended;

c) 持有的行政许可证明、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;

C) The administrative license certificate, qualification certificate, compulsory certification certificate and other certificates held have expired, and the resubmitted application has been accepted but has not been renewed;

d) 在监督审核、特殊审核、认证有效性内部稽查中发现的不符合项, 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);

D) Non-conformance found in supervision audit, special audit, internal audit of certification effectiveness, corrective actions taken within the agreed time frame and not accepted (or not proven to be effective);

e) 发生影响产品质量/环境绩效/职业健康安全绩效/食品安全的重大事故, 或国家行业监督检查发现重大问题, 新闻媒体曝光事件;

- E) Major accidents affecting product quality/environmental performance/occupational health and safety performance/food safety, or major problems found by national industry supervision and inspection and exposed by news media;
- f) 特殊行业，在特定时期国家有要求予以暂停的；
- F) Special industries that are required to be suspended by the state during a specific period;
- g) 对其投诉或任何其它信息证实获证组织不再符合本机构的相关规定要求；
- G) the complaint or any other information confirming that the certified organization no longer meets the requirements of the relevant regulations of the Institute;
- h) 获证客户主动请求暂停；
- H) The authorized customer initiatively requests suspension;
- i) 其他不满足本机构认证要求的情况。
- I) Other circumstances that are not in compliance with the certification requirements of the Institute.

## 6.2 暂停管理

### Suspension of management

技委会负责按规定向国家行业主管部门上报暂停信息，针对 FSC-COC 认证证书，还应在 FSC 认证数据库（<https://fsc.org>）中更新认证状态，并在三天之内更新暂停的生效日期和原因，暂停的到期日期。如需了解获证组织最新状态，可通过输入获证组织证书号 and 公司名称在公司网站或者全国认证认可信息公共服务平台查询认证证书最新状态。

The technical commission is responsible for reporting the suspension information to the national industry authorities according to the regulations. For the FSC-CoC certification, it should also update the certification status in the FSC certification database (<https://fsc.org>), and update the effective date and reason of the suspension within three days, and the expiration date of the suspension. If you need to know the latest status of the certified organization, you can enter the certificate number and the company name on the company website or the national certification and accreditation information public service platform to inquire the latest status of the certification certificate.

## 6.3 暂停认证资格的恢复

### Restoration of suspended certification qualifications

被暂停获证组织在暂停期内对造成暂停的原因已经根本消除，并且提供了有效的证书至公司

认证决定人员评审后，经审批可恢复被暂停获证组织的证书的标志。

The suspended organization has eliminated the reasons for the suspension during the suspension period, and has provided the valid certificate to the company's certification decision personnel for review, and can restore the mark of the suspended organization's certificate after approval.

## 7 认证证书/标志的撤销

### Revocation of certification certificate/mark

获证组织有以下情形之一的，应在获得相关信息并调查核实后及时撤销其认证证书并要求认证证书的持有者停止使用认证证书/认证标志：

In one of the following situations, the certification organization should revoke its certification certificate in time and require the holder of the certification certificate to stop using the certification certificate/certification mark after obtaining relevant information and investigating and verifying

#### 7.1.1 被注销、破产或撤销法律地位证明文件的；

The legal status certificate is cancelled, bankrupt or revoked;

#### 7.1.2 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；

The certified organization fails to effectively correct the problem within the period of suspension;

#### 7.1.3 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；

refuse to cooperate with the supervision and inspection carried out by the certification regulatory authorities, or provide false materials or information for the inquiry and investigation of relevant matters;

#### 7.1.4 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。发生影响质量、环境、职业安全的重大事故，造成严重不良社会影响的，经调查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；

If a major product or service quality and safety accident occurs, it is confirmed by the law enforcement and supervision department that it is caused by the violation of the authorized organization. If a major accident affecting quality, environment and occupational safety occurs and causes serious adverse social impact, the cause of the accident is due to the serious defect of the system or the organization's failure to investigate the cause of the major accident and take effective

corrective measures within the suspension period;

7.1.5 严重违反双方认证合同规定的;

Party B seriously violates the provisions of the certification contract between both parties;

7.1.6 有其他严重违反法律法规行为的;

Other serious violations of laws and regulations;

7.1.7 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);

The period for the suspension of the certification certificate has expired but the problems resulting in the suspension have not been solved or corrected (including the administrative license certificate, qualification certificate, compulsory certification certificate, etc., which have expired but the application has not been approved);

7.1.8 没有运行质量管理体系或者已不具备运行条件的;

There is no operation quality management system or no operation conditions;

7.1.9 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6个月仍未纠正的;

does not correctly refer to and publicize the certification information obtained in accordance with relevant regulations, causing serious impact or consequences, or the certification body has asked it to correct, but it has not corrected for more than 6 months;

7.1.10 其他应当撤销认证证书的;

Other certificates that should be revoked;

7.1.11 获证客户主动要求撤销证书;

The certified customer requests to revoke the certificate on his own initiative;

7.1.12 其他重大影响管理体系有效性的情况。

Other circumstances that significantly affect the effectiveness of the management system.

7.2 技委会负责按规定向国家行业主管部门上报撤销信息,针对 FSC-COC 认证证书,信息上报人员还应在 FSC 认证数据库 (<https://fsc.org>) 中更新认证状态,并在三天之内更新撤销的生效日期和原因。如需了解获证组织最新状态,可通过输入获证组织证书号 and 公司名称在公司网站或者全国认证认可信息公共服务平台查询认证证书最新状态。

The Technical Commission is responsible for reporting the revocation information to the national



industry authorities in accordance with the regulations. For the FSC-CoC certification, the information reporting personnel should also update the certification status in the FSC certification database (<https://fsc.org>), and update the effective date and reason of the revocation within three days. If you need to know the latest status of the certified organization, you can enter the certificate number and the company name on the company website or the national certification and accreditation information public service platform to inquire the latest status of the certification certificate.

7.3 认证证书自撤销之日起将不可被恢复，如获证组织申请认证证书，按初审提交申请至公司。

The certification certificate will not be restored from the date of revocation. If the certified organization applies for the certification certificate, it should submit the application to the company according to the preliminary examination.