

授予、拒绝、保持、更新、扩大、缩小、暂停、撤销和注销 认证的管理程序

Management procedures for granting, denying, maintaining, updating, suspending, restoring, revoking, cancelling, or expanding/reducing certifications

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为三年(FSC-COC认证证书有效期不超过五年)。作为最低要求，在初次认证审核的认证决定日期后的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相关体系/产品认证认可法规规定的审核间隔时间。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，并在认证证书到期前关闭严重不符合项，否则应按初审进行。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 period of the management system certification certificates issued by this institution is three years (the validity period of FSC-COC certification certificates shall not exceed five years). As a minimum requirement, one surveillance audit shall be conducted within 12 months after the certification decision date of the initial certification audit. Thereafter, at least one surveillance audit shall be carried out each calendar year, and the interval between two consecutive surveillance audits shall not exceed the audit interval stipulated in the accreditation regulations applicable to the relevant system or product certification. The certified organization shall submit an application for recertification to this institution three months prior to the expiration of the certification certificate, and shall close all major non-conformities before the certificate expires; otherwise, the certification shall be processed in accordance with the procedures for initial certification. During the validity period of the certification certificate, if the certified organization changes its management system, or if the management system standards on which the management system certification is based are revised, the organization shall reapply for surveillance audit 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 5 日内暂停其认证证书。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，暂停期限不得超过 6 个月（FSC-COC 认证证书暂停期限最长为 12 个月）。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 the event that a certified organization is found to have any of the following circumstances that affect the continuous validity and credibility of its certification, this institution will suspend its certification certificate within 5 days after investigation and verification. This institution requires the holder of the certification certificate to suspend the use of the certification certificate and certification mark, and the suspension period shall not exceed 6 months (the maximum suspension period for FSC-COC certification certificates is 12 months). For special certified organizations, such as those who explicitly give up their certificates or whose system operations have seriously failed, this institution may directly revoke the organization's certification certificate without going through the suspension procedure.

5.1.1 持续或严重不满足认证要求的，包括体系文件与实际业务运作严重脱离；

Persistent or severe non-compliance with certification requirements, including a significant divergence between system documents and actual business operations;

5.1.2 不满足适用的法律法规要求，且未采取有效纠正措施的；

Failing to meet applicable legal and regulatory requirements, and not taking effective corrective measures.

5.1.3 受到与对应管理体系相关的行政处罚，且尚未完成整改的；

Those who have been subjected to administrative penalties related to the corresponding management system and have not yet completed rectification;

5.1.4 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；

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；
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；

Failure to pay relevant certification fees in time as required;

d) 第一次监督审核应在证书签发日起 12 个月内进行，第二次监督审核应在证书签发日起 24 个月内进行且两次监督审核的间隔不得超过 12 个月，再认证审核应在证书签发日起 36 个月内且距离监二审核不得跨年。

The first surveillance audit shall be conducted within 12 months from the date of certificate issuance. The second surveillance audit shall be conducted within 24 months from the date of certificate issuance, and the interval between the two surveillance audits shall not exceed 12 months. The recertification audit shall be carried out within 36 months from the date of certificate issuance and shall not span a calendar year from the second surveillance audit.

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、拒绝配合市场监管部门的认证执法检查监督检查，或者提供虚假材料或信息的；

Refusing to accept or cooperate with the internal audit of certification effectiveness organized and implemented by this institution, refusing to cooperate with the certification law enforcement supervision and inspection conducted by the market supervision department, or providing false materials or information;

5.1.5 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) 持有的与体系范围有关的行政许可文件、资质证书、强制性认证证书等过期失效的；

The administrative licensing documents, qualification certificates, compulsory certification certificates, etc. related to the scope of the system that are held have expired and become invalid;

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) 发生影响产品重大质量事故、突发环境事件、较大生产安全事故、食品安全重大事故等，反映获证组织体系运行存在重大缺陷的；

Occurrence of major quality accidents affecting products, sudden environmental incidents, significant production safety accidents, major food safety accidents, etc., reflecting significant defects in the operation of the certified organizational system;

f) 发生与对应体系相关重大舆情的；

Major public opinion related to the corresponding system occurs;

g) 监督审核时发现的严重不符合的纠正措施未能在3个月内完成验证的；

The corrective measures for serious non-conformities found during supervision and audit have not been verified within 3 months.

h) 特殊行业，在特定时期国家有要求予以暂停的；

Special industries that are required to be suspended by the state during a specific period;

i) 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;

j) 获证客户主动请求暂停；

H) The certified customer actively requests suspension;

i) 其他不满足认证要求的情况。

I) Other circumstances that are not in compliance with the certification requirements.

5.2 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（search.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 (search.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.

5.3 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.

6 认证证书/标志的撤销

6.1 撤销准则 Withdrawal criteria

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 5 日内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：

If a certified organization falls under any of the following circumstances, its certification certificate shall be revoked within 5 days after obtaining relevant information and conducting investigation and verification, and the holder of the certification certificate shall be required to stop using the certification certificate/certification mark:

6.1.1 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;

6.1.2 被“国家企业信用信息公示系统”和“信用中国”列入严重违法失信名单的；或被应急管理

部门列入安全生产严重违法失信主体名单的（适用 OHSMS）；

Those who have been included in the list of serious illegal and dishonest entities by the "National Enterprise Credit Information Publicity System" and "Credit China"; or those who have been included in the list of serious illegal and dishonest entities for safety production by the emergency management department (applicable to OHSMS);

6.1.3 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;

6.1.4 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;

6.1.5 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;

6.1.6 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;

6.1.7 有其他严重违法违反法律法规行为的；

6.1.8 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；

The period for suspension has expired but the problem causing the suspension has not been resolved or corrected.

6.1.9 没有运行管理体系或者已不具备运行条件的；

Those who do not have an operational management system or no longer meet the operational conditions;

Other serious violations of laws and regulations;

6.1.10 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);

6.1.11 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;

6.1.12 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;

6.1.13 其他应当撤销认证证书的；

Other certificates that should be revoked;

6.1.14 获证客户主动要求撤销证书；

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

6.1.15 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.

6.2 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（search.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 (search.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.

6.3 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.

7 认证证书/认证标志的注销 **Cancellation of certification certificate/certification mark**

获证组织主动申请不再保持认证证书时，客服部应向机构提交证书注销申请。经机构技术委员会及高层管理人员批准后，办理认证证书注销手续，并留存相关记录；同时核查该证书是否存在暂停或撤销情形。

若存在暂停或撤销情形，应予以撤销，证书状态由“有效”变更为“撤销”；若不存在上述情形，则予以注销，证书状态由“有效”变更为“注销”。

客服人员应通知并要求获证组织立即停止使用该认证证书及认证标志。已注销的认证证书失效，且不可恢复。

When a certified organization voluntarily applies to no longer maintain its certification certificate, the customer service department should submit a certificate cancellation application to the institution. After approval by the institution's technical committee and senior management, the certification certificate cancellation procedures shall be handled, and relevant records shall be retained; meanwhile, verification shall be conducted to check whether the certificate has been suspended or revoked.

If there are circumstances of suspension or revocation, the certificate should be revoked, and its status should be changed from "valid" to "revoked"; if no such circumstances exist, the certificate should be cancelled, and its status should be changed from "valid" to "cancelled".

Customer service personnel should notify and request the certified organization to immediately stop using the certification certificate and certification mark. The cancelled certification certificate is invalid and cannot be restored.

8、拒绝认证 Refused to certification

现场审核期间受审核方已发生重大的产品质量/环境/职业健康安全/信息安全、能源管理事故或事故的隐患，或发现受审核方存在违反国家法律法规，或受审核方对审核活动不予配合导致审核活动无法进行，或体系存在重大缺陷不符合认证标准要求等情况。审核组应立即通知公司项目管理员，并得到审核部经理批准后终止现场审核活动，审核组向受审核方开具不符合项报告（严重），现场审核不予通过。

If the client has the major quality /environmental/occupational health and safety accidents on products/services or accident potential, or find that the organization has violated the state laws and regulations , or have major nonconformity in system(refer to never conduct internal audit, management review, no planning or planning failure), the audit team shall notify the project management staff, and terminate the audit activities after the approval from the head of audit department., audit team leader shall take record in management systems audit detail report.

认证决定期间如发现受审核方已发生重大的产品质量/环境/职业健康安全/信息安全、能源管理事故或事故的隐患，或发现受审核方存在违反国家法律法规，或体系存在重大缺陷不符合认证标准要求等情况的，应要求受审方限期整改，涉及需暂停或撤销客户证书的，应按照以上暂停或撤销的流程进行处理，最终超期未整改完成的应操作不通过处理，向受审核方发送不通过处理函。

If significant product quality/environmental/occupational health and safety/information security, energy management accidents or hidden dangers are found to have occurred in the audited party during the certification decision period, or if it is found that the audited party has violated national laws and regulations, or if the system has major defects that do not meet the certification standards, the audited party should be required to rectify within a specified period of time. If it involves the need to suspend or revoke customer certificates, the above suspension or revocation process should be followed. If the rectification is not completed within the deadline, the operation should be rejected and a rejection letter should be sent to the audited party.

9、更新认证 **Renewal the certificate**

如公司通过现场审核或其他方式确认受审核方的认证信息变更，包括但不限于获证组织名称、地址、范围、产品标准等，将对认证文件进行更新。

If the DCI confirms the change of certification information of the audited party through on-site audit or other means, including but not limited to the name, address, scope and product standard of the licensed organization, will renew the certificate.