

	国恒认证检测（广东）有限公司 G-Eternal Certification & Inspection(GuangDong) Co.,Ltd	编号 Doc. No.: GEC-MP-01 更新日期: Update Date: 2023/6/1
	认证公正性管理程序 Certification Impartiality Management Procudure	版本/次: Version/Edition: A/3

程序文件

Procedure Document

受控状态：受控 ☒ 非受控 ☐

Controlled condition:

受控文件



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本文件依 ISO/IEC17021-1:2015 《合格评定 管理体系审核与认证机构的要求 第 1 部分：要求》

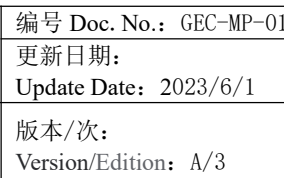
（CNAS-CC01:2015）及 IAS、国家认监委、认可委有关的认证认可规则、指南及综合公司实际编制

This document is prepared in accordance with *ISO/IEC 17021-1:2015 Conformity assessment —*

Requirements for bodies providing audit and certification of management systems — Part 1: Requirements

(CNAS-CC01:2015) and the relevant certification and accreditation rules and guidelines of the IAS、CNCA、

CNAS and GEC'S operation regulations.



Revising C.V.

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1. 目的: Objective

为确保管理体系认证审核的公正性，对可能影响认证工作公正性因素进行有效控制，根据《认证机构管理办法》等法规的有关要求制定本程序。

In order to ensure the impartiality of the management system certification audit, to effectively control the factors that may affect the impartiality of the certification work, according to the relevant requirements of the "certification body Management Measures" and other regulations to develop this procedure.

2. 适用范围: Appropriate Scope

公开、管理和控制本公司运行过程中可能影响管理体系认证审核活动工作的所有因素。

Make public, manage and control all factors that may affect the management system certification audit activities during the operation of the company.

3. 权责: Responsibility

3.1 总经理对认证工作全过程的公正性全面负责；

3.1 The general manager shall be fully responsible for the impartiality of the whole process of certification;

3.2 管理者代表负责制定并落实具体公正性管理措施并指导、监督各部门和全体人员的执行；

3.2 The management representative is responsible for formulating and implementing specific impartiality management measures and guiding and supervising the implementation of all departments and staff;

3.3 各部门和全体人员确保切实执行公司公正性管理各项要求；

3.3 Each department and all personnel shall ensure the effective implementation of the requirements of the company's impartiality management;

3.4 维护公正性管理委员会对公正性政策的制定和实施进行监督；

3.4 The Impartiality Management Committee shall supervise the formulation and implementation of impartiality policies;

3.5 行政部负责公正性要求的日常信息收集；

3.5 The Administration Department shall be responsible for the daily information collection required by impartiality;

3.6 审核部负责审核过程公正性要求的日常管理和信息收集。

3.6 The Audit Department shall be responsible for the daily management and information collection of the impartiality requirements of the audit process.

4. 定义 Definition

公正性、能力、责任、公开性、保密性、对投诉的回应、基于风险的方法（依《CC01:2015》和《GB/T19000-2016》要求）

Impartiality, capacity, accountability, openness, confidentiality, response to complaints, risk-based approach (as required by CC01:2015 and GB/T19000-2016)

5. 程序: Procedure

5.1 公司对下列影响认证工作公正性的因素进行控制：

5.1 The Company shall control the following factors affecting the impartiality of the certification work:

a) 对申请方进行咨询或与咨询机构进行合作；

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- a) consult with the applicant or cooperate with the consulting body;
- b) 开发认证市场时采取不正当竞争行为;
- b) Unfair competition in the development of certification market;
- c) 认证审核采用指标承包或利益驱动方式;
- c) The certification audit shall adopt the index contracting or interest driven approach;
- d) 认证审核人员的行为。
- d) the certificated auditor's behavior .
- e) 可能引起利益冲突的关系（相关机构）的活动。
- e) Activities of relationships (relevant body) that may give rise to conflicts of interest.

5.2 对咨询活动的控制 The control of consulting activities

5.2.1 对与公司相关关联机构以及公司员工在入职之前咨询或任职过的申请方,公司在两年内不接受其认证申请,为此采取如下措施:

5.2.1 The Company shall not accept the certification application of the applicant who has consulted or worked with the relevant body of the company and the employees of the Company before joining the company within two years. Therefore, the Company shall take the following measures:

- a) 向申请人和认证认可主管机构公开公司相关机构名称;
- a) Disclose the names of relevant body of the company to the applicant and the certification and accreditation authorities;
- b) 在认证申请表上要求申请人向公司提供为其提供咨询服务的组织和人员信息;
- b) Require the applicant to provide the Company with information on the organization and personnel providing consulting services on the certification application form;
- c) 根据申请人反馈信息,决定是否受理申请及配备审核组成员。
- c) According to the applicant's feedback, decide whether to accept the application and appoint members of the audit team.

5.2.2 公司在接受认证申请时,采取下列措施确保不搞认证和咨询一条龙服务:

5.2.2 When accepting the certification application, the Company shall take the following measures to ensure that it does not provide one-stop certification and consulting services:

- a. 在公开文件中,作出明确承诺:不提供咨询服务,也不与任何咨询机构建立合作关系,更不暗示申请方若选择某家咨询或培训机构,则可减少认证审核程序、或通过认证;
- a. In public documents, make a clear commitment not to provide consulting services, establish a partnership with any consulting agency, or imply that the applicant may reduce the certification review process or pass certification if he chooses a consulting or training agency;
- b. 原发证机构具 CNAS 认可资格被其暂停或撤销的;或具 CNCA 备案资格;被其暂停或撤销的不受理;
- b. Original license-issuing organs with the accreditation of CNAS are suspended or withdrawn by CNAS; Or have CNCA registration qualification; Inadmissibility suspended or withdrawn by it;
- c. 原证书三年有效周期逾期的不受理;
- c. The expiration of the three-year validity period of the original certificate will not be accepted;
- d. 在洽谈认证合同过程中,拒绝申请方任何方式的咨询和培训要求;
- d. Refuse any form of consultation and training requested by the applicant during the negotiation of the certification contract;
- e. 独立签署认证合同,不涉及任何与认证有关的咨询问题。
- e. Sign certification contracts independently, without any certification related consulting issues.

5.2.3 公司对认证审核人员可能的咨询行为作如下规定:

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5.2.3 The Company shall make the following provisions on the possible consulting behaviors of certification and audit personnel:

- a. 公司专、兼职审核员入职前要求提供其曾工作、咨询过的企业名单；
- a. The company's professional and part-time auditors are required to provide a list of enterprises they have worked and consulted before entering the company;
- b. 公司专、兼职审核员不得以任何名义从事认证咨询和培训活动；
- b. The company's professional and part-time auditors shall not engage in certification consulting and training activities in any name;
- c. 公司专、兼职审核员不得应企业要求为其协助内审或有关认证审核的咨询、培训事宜；
- c. The company's professional and part-time auditors shall not assist the internal audit or consulting and training related to certification audit at the request of the enterprise;
- d. 公司专、兼职审核员在两年内不得参加曾为其提供过咨询的企业进行认证审核活动。
- d. The company's professional and part-time auditors shall not participate in the certification audit activities of the enterprises that have provided consulting services for them within two years.

5.2.4 公司认证审核设置的分支机构、办事机构，必须报国家认证认可主管机构备案，并纳入公司质量管理体系管理范围内和进行合规内审。

5.2.4 The branches and bodies of the company shall be reported to the national certification and accreditation authority for the record, and shall be included in the scope of the company's quality system management and internal compliance audit.

5.3 在市场开发中，对不正当竞争行为的控制

5.3 Control of unimpartiality competition in market development

5.3.1 在公开文件中或签署认证合同前，应向申请人公开公司认可的获批业务范围，不得造成误导；

5.3.1 The approved business scope approved by the company shall be disclosed to the applicant in the public documents or before signing the certification contract, so as not to mislead;

5.3.2 严格执行 CCAA 规定的《管理体系认证收费标准》及公司指导文件《GEC-PD-05 认证收费标准》和认证认可行业自律文件要求，不准高收费或压价竞争。

5.3.2 Strictly implement the Management System Certification Fee Standard stipulated by CCAA, the company's guidance document **GEC-PD-05 Guidance of Certification Fee Standard** and the requirements of the certification and accreditation industry self-discipline documents, and do not allow high fees or low price competition.

5.3.3 无正当理由，不得全部或部分免收认证费用，特殊情况，应报国家认证认可主管机构批准；

5.3.3 Certification fees shall not be exempted in whole or in part without justifiable reasons. In special cases, the certification and accreditation authority of the State shall approve;

5.3.4 严禁任何人以任何名义给认证申请人或其介绍人回扣或介绍费，也不准以此种手段招徕认证客户；

5.3.4 It is strictly prohibited for anyone to give kickbacks or referral fees to certification applicants or their referrals in any name, nor is it allowed to solicit certification customers by such means

5.3.5 不准与咨询机构挂钩，给予认证介绍费或给予咨询人员好处费；

5.3.5 It is not allowed to link with consulting institutions, give certification referral fees or give consulting personnel disposal fees;

5.3.6 公司向国家认证认可主管机构公开或汇报财务收支状况，并接受其公正性监督。

5.3.6 The Company shall disclose or report its financial income and expenditure status to the national certification and accreditation body and accept its impartiality supervision.

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5.4 公司确保不以营利为目的, 不搞承包经济指标和认证数量承诺, 也不允许任何工作人员以任何理由进行经济指标和认证数量的承包。

5.4 The Company shall ensure that it is not for the purpose of making profits, does not commit to contracting economic indicators and certified quantity, and does not allow any staff to contract economic indicators and certified quantity for any reason.

5.5 公司所有人员必须严格执行工作人员行为规范, 其中审核员在执行审核任务时, 严格做到“四不”:

- 不收受礼品、礼金;
- 不收受有价证券和珠宝首饰;
- 不参加企业安排的宴请;
- 不参加企业安排的娱乐活动。

5.5 All personnel of the company must strictly implement the code of conduct of the staff, among which the auditors shall strictly comply with the "four No's" when performing the audit task:

- do not accept gifts or cash gifts;
- Not to accept securities and jewelry;
- Not attending the banquet arranged by the enterprise;
- Do not participate in the entertainment activities arranged by the enterprise.

并签署“GEC-05-12 公正性和保密声明”, 审核结束后由公司进行“GEC-05-21 审核人员工作质量反馈表”调查, 有违反情况严肃处理

And sign the "GEC-05-12 Declaration of Impartiality and Confidentiality ". After the audit, the company will conduct the "GEC-05-21 Auditor Performance Feedback(By Client)" investigation, and strictly deal with any violation

5.6 维护公正性委员会的监督活动

5.6 Surveillance activities of the Impartiality Maintenance Committee

5.6.1 为确保公司认证活动的公正性, 公司公正性管理受公司监督机构——公正性管理委员会及其成员有权对公司认证活动的前、中、后的公正性监督。

5.6.1 In order to ensure the impartiality of the company's certification activities, the company's impartiality management is subject to the company's supervisory body -- the Impartiality Management Committee and its members have the right to supervise the impartiality before, during and after the company's certification activities.

5.6.2 公正性委员会年度会议结果描述于“GEC-01-01 第 次维护公正性委员会会议记录”并列为公司管审会议输入内容（见《GEC-MP-11 管理评审程序》）

5.6.2 The results of the annual meeting of the Impartiality Maintenance Commission are described in "GEC-01-01Minutes of the Impartiality Maintenance Committee" and listed as the input content of the company's management and audit meeting (see "GEC-MP-11 Management Review Procedure").

5.7 可能引起利益冲突的关系（相关机构）的活动

公司不受理下列认证活动:

5.7 Activities of relationships (relevant bodies) that may cause conflicts of interest

The company does not accept the following certification activities:

5.7.1 熟识(或信任):此类威胁源于个人或机构对另外一人过于熟悉或信赖, 而不去寻找审核证据。

5.7.1 Familiarity (or trust): threats that arise from a person or body being too familiar with or trusting of another person instead of seeking audit evidence.

5.7.2 胁迫:此类威胁源于个人或机构察觉受到公然或暗中的强迫, 如威胁用他人取而代之或向主管告

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5.7.2 Intimidation: threats that arise from a person or body having a perception of being coerced openly or secretly, such as a threat to be replaced or reported to a supervisor.

5.7.3 公司不应应对另一认证机构的管理体系进行认证。

5.7.3 The Company shall not certify the management system of another certification body.

5.7.4 公司不对公司股东方另有成立的控股投资（包括联营主体或实际控制）企业的管理体系进行认证、提供或推荐管理体系咨询。

5.7.4 The Company shall not certify, provide or recommend management system consultation to the management system of the holding investment (including the joint entity or actual control) enterprises otherwise established by the shareholders of the Company.

5.7.5 公司应确保不得存在来自公司股东方的任何性质的胁迫和压力行为，当有影响认证公正性的胁迫和压力因素时，公司不对这些企业的管理体系进行认证，包括和不限于不对来自公司股东方介绍、推荐或其合作企业（如其客户、供应商、合作方等）的管理体系进行认证（见《GEC-MM-01 管理手册》、《GEC-MP-13 认证风险控制程序》、《GEC-MR-06 认证审核合规指引》）

5.7.5 The Company shall ensure that no coercion or pressure of any nature exists from the shareholders of the Company. When there are coercion or pressure factors affecting the impartiality of certification, the Company shall not certify the management system of these enterprises. Including and not limited to not certifying the management system introduced or recommended by the company's shareholders or its cooperative enterprises (such as its customers, suppliers, partners, etc.) (see "GEC-MM-01 Management Manual", "GEC-MP-13 Certification risk Management Procedure", "GEC-MR-06 Certification Audit Compliance Regulations")

6. 参考文件 Reference Document

6.1 《GEC-MM-01 管理手册》

6.1 GEC-MM-01 Management Manual

6.2 《GEC-MP-11 管理评审程序》

6.2 GEC-MP-11 Management Review Management Procedure

6.3 《GEC-MP-13 认证风险控制程序》

6.3 GEC-MP-13 Certification Risk Management Procedure

6.4 《GEC-MR-06 认证审核合规指引》

6.4 GEC-MR-06 Certification Audit Compliance Regulations

6.5 《GEC-PD-05 认证收费标准》

6.5 GEC-PD-05 Guidance of certification fee standard

7. 相关表单 Relevant Form

7.1 《GEC-01-01 第一次维护公正性委员会会议记录》

7.1 GEC-01-01 Minutes of the Impartiality Maintenance Committee

7.2 《GEC-05-12 公正性和保密声明》

7.2 GEC-05-12 Declaration of Impartiality and Confidentiality

7.3 《GEC-05-21 审核人员工作质量反馈表》

7.3 GEC-05-21 Auditor Performance Feedback(By Client)