

	国恒认证检测（广东）有限公司 G-Eternal Certification & Inspection(GuangDong)Co.,Ltd.	编号 Doc. No.: GEC-PD-02 更新日期 Update Date: 2023/6/1
	公开文件--管理体系认证获证后基本规则 Public Document - Basic Rules for After Certification of Management System	版本/次 Version/Edition: A/3

公开文件

Public documents

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编制：技委会 Prepared by: Technical Committee

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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 guideline of the IAS、CNCA、CNAS and GEC'S operation regulations.

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文件修改历史记录

Revising C.V.

版本 Version	修改章节 Modified chapter	修改日期 Modified date	修改内容 Modified content	批准人 Approver	批准/发布日期 Approval/ Release Date	实施日期 Implementation date
A/0	--	--	初始文件 Initial Issuing	马玉华 Cindy Ma	2018/10/25	2018/11/1
A/1	全文 All	2020/4/3	ISO45001:2018 改版升级及编码等相关细节修订 Revision upon ISO45001:2018 upgrading & document numbering principle change	马玉华 Cindy Ma	2020/4/3	2020/4/3
A/2	全文 All	2021/6/1	公司管审完成后,适应新的管理要求 Revision to fulfill the new requirements of management review from the CNCA	马玉华 Cindy Ma	2021/6/1	2021/6/1
A/3	全文 All	2023/6/1	依 IAS 评审要求英译 English translation by IAS accreditation requirement	马玉华 Cindy Ma	2023/6/1	2023/6/1

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1. 目的 Objectives

为使获取本公司质量、环境、职业健康安全管理体系证书的组织了解相关认证规则事项，特制定本文件。

In order to provide organizations seeking certification for our company's quality, environmental, and occupational health and safety management system with an understanding of relevant certification requirements, this document has been developed.

2. 适用范围 Scope of Application

适用于已经正式获取本公司颁发的质量、环境、职业健康安全管理体系认证证书的客户（也使用拟申请管理体系认证的准客户作为认证规则的预先了解）。

This is applicable to clients who have already received our company's certification for quality, environmental, and occupational health and safety management systems (and also to prospective clients who are considering applying for management system certification as a pre-understanding of certification requirements)

3. 权责 Responsibilities and Authorities

本公司：各项涉及的管理制度和规则制定，更新和发布并监督获证组织了解和遵守。

获证组织：积极了解各项与获证组织相关的管理制度和规则并遵守。

Our company: We establish, update, and publish relevant management systems and rules, and monitor certified organizations' understanding and compliance.

For certified organizations: We actively understand and comply with all relevant management systems and rules related to certified organizations.

4. 定义 Definitions

参考 ISO9000:2015《质量管理体系-基础和术语》、CNAS-CC01:2015 管理体系认证机构要求等其他行政制度及本公司文件规定。

In accordance with ISO 9000:2015 *Quality Management Systems - Fundamentals and Vocabulary*, CNAS-CC01:2015 *Requirements for Bodies Providing Audit and Certification of Management Systems*, and other relevant administrative regulations and company documents

5. 管理流程 Management process

5.1 关于认证证书、认证资格、证书、标志的使用规则：

Regarding the rules for the use of certification certificates, certification qualifications, certificates, and logos:

具体执行《GEC-PD-04 认证认可标识（牌）使用及认证证书管理规定》和国家主管部门的相关要求。

Specifically follow the *GEC-PD-04 Reference to Certification and Use of Marks* and relevant requirements of the competent national authority.

5.2 对获证组织监督审核/专项检查规则：

Rules for surveillance audits/special inspections of certified organizations:

监督审核是本公司验证获证组织的管理体系是否持续运作，同时考虑获证组织运作方面的变化是否对其体系产生了不利的影响，并评定其体系是否满足认证要求（依《GEC-MP-06 监督、再认证审核程序》具体实施；专项检查是国家认可机构或其委托的地方市场监管部门对获证组织实施的非常例行的临时调查（获证组织不得以任何理由拒绝配合）。

Surveillance audits are conducted by our company to verify whether the certified organization's management system is operating continuously, taking into account changes in the organization's operations that may have

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an adverse impact on its system, and to assess whether its system meets certification requirements (implemented in accordance with ***GEC-MP-06 Surveillance and Recertification Audit Procedure***). Special inspections are non-routine, temporary investigations carried out by the competent national authority or its delegated local market supervision department on certified organizations (the certified organization may not refuse to cooperate for any reason).

5.2.1 监督审核分定期和不定期两种形式

Surveillance audit includes two forms: scheduled and unscheduled.

5.2.1.1 本公司应对持有其颁发的管理体系认证证书的组织进行有效跟踪，监督获证组织通过认证的管理体系持续符合要求。

Our company will effectively track organizations holding our issued management system certification certificates, and supervise certified organizations to ensure that their certified management systems continue to meet the requirements.

5.2.1.2 为确保达到 5.2.1.1 条要求，本公司应根据获证组织的产品或服务的质量、环境、安全风险程度或其他特性，确定对获证组织的监督审核的频次。

作为最低要求，在初次认证的第二阶段审核后至少 10-12 个月内应进行一次监督审核。此后，每次监督审核的时间间隔不超过 12 个月。

To ensure compliance with 5.2.1.1, our company shall determine the frequency of surveillance audits for certified organizations based on the quality, environmental, safety risks, or other characteristics of the organization's products or services. As a minimum requirement, a surveillance audit shall be conducted at least once between the stage 2 audit of initial certification and 10-12 months after certification, the time interval between each surveillance audit shall not exceed 12 months.

5.2.1.3 本公司客服部将依审核周期要求与获证组织确认安排监督审核计划，将以信函或传真或系统发送或在线提醒等方式通知各获证组织本年度监督审核的具体时间安排。

The Client Service Department of our company shall confirm the audit plan of surveillance audits with certified organizations according to the audit cycle requirements and notify each certified organization of the specific time arrangement for surveillance audits in the current year by letter, fax, system transmission, online reminder, or other means.

5.2.1.4 不定期监督审核由本公司安排，通常是在获证组织管理体系的有效性可能出现失控情况时进行。以下情况，可进行不定期的监督审核：

Nonscheduled surveillance audits shall be arranged by our company, it usually when the effectiveness of the certified management system may be out of control. Nonscheduled surveillance audits may be conducted under the following circumstances:

——相关方对获证组织有严重投诉，或反映其有隐瞒事实真相；

Severe complaints or reports of concealment of facts by interested parties against certified organizations;

——国家对获证组织的产品抽查不合格；

National inspection of certified organizations' products reveals nonconformities;

——管理体系有较大变化、影响到体系运行的有效性；

Significant changes in the management system that affect its effectiveness;

——正常监督审核时有较多不合格，审核组建议增加监督审核。

A significant number of nonconformities are found during normal surveillance audits, and the audit team recommends an increase in surveillance audits.

5.2.2 监督检查的实施 Implementation of Surveillance Inspection

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监督检查由本公司组织实施，具体的监督检查活动将由本公司根据年度计划安排，同时派出合格的审核组进行现场审核的方式进行。定期监督检查的现场审核计划由审核组长于审核实施前一周通知，以便获证组织做出安排。非定期监督检查计划可于审核组到现场后提交获证组织，也可提前预知。非定期监督检查不收取审核费用（不包括获证组织主动申请的扩大审核等）。

Surveillance inspections shall be organized by our company, and specific surveillance inspection activities shall be arranged according to the annual plan by dispatching qualified audit teams to conduct on-site audits. The on-site audit plan for regular surveillance inspections shall be notified by the audit team leader one week before, to enable the certified organization to make arrangements. The plan for nonscheduled surveillance inspections can be submitted to the certified organization after the audit team arrives on site or can be known in advance. Nonscheduled surveillance inspections do not incur audit fees (excluding expanded audits initiated by the certified organization, etc.).

5.2.3 监督审核的延期 Extension of Surveillance Audit

A. 在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。

When there is evidence that the certified organization is temporarily not ready for implementation of surveillance audits upon reaching the surveillance audit deadline, the surveillance audit period can be appropriately extended, but the longest interval cannot exceed 15 months.

B. 超过期限而未能实施监督审核的，应按应按 **《GEC-PM-07 授予、保持、更新、暂停、撤销、变更（含特殊 临时审核）、恢复认证程序》** 处理。

If the surveillance audit is not conducted beyond the deadline, it shall be handled in accordance with **GEC-PM-07 Granting, Maintaining, Renewing, Suspending, Withdrawing, Changing Including Special Temporary Audit), Restoring Certification Management Procedure.**

C. 可于定期监督审核时间之前，书面向本公司提出延期申请，获批后方可延期。

A written extension application can be submitted to our company before the scheduled surveillance audit time, it can be extended only after the approval.

5.2.4 认证有效性专项检查安排 Arrangements for certification validity special inspections

由中国国家认可委员会（CNAS）、认监委（CNCA）或其委托的地方市场监管部门或其他行政机关对获证组织实施非例行的临时调查，专项检查一般采取不定期、非事先通知的方式进行，获证组织需配合国家主管部门的专项检查。

The certified organization shall cooperate with the competent national authority when a non-routine temporary investigation is carried out by the China National Accreditation Service for Conformity Assessment (CNAS), the Certification and Accreditation Administration of the People's Republic of China (CNCA), local market supervision departments or other administrative authorities commissioned by them for a special inspection of certification validity. The special inspection is generally carried out in an irregular and non-pre-announced manner.

5.3 获证组织通报制度的规则 Rules for the Notification System of the Certified Organization

5.3.1 通报制度的是本公司与获证组织间进行沟通的一种手段，该制度要求获证组织指定一个常设机构负责管理体系的成员维护并保持与本公司的经常性联络，及时反映有关信息。当获证组织发生如下情况时，应在最迟一周内及时以书面形式向本公司通报：

The notification system is a means of communication between our company and the certified organization. The system requires the certified organization to designate a permanent institution responsible for managing the system and maintaining regular contact with our company to provide timely information. In the event of the following circumstances, the certified organization shall notify our company in writing within one week

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at the latest:

- 管理手册等管理体系文件作重大修改;
Significant changes to management system documents such as management manuals;
- 管理体系覆盖的产品结构、生产规模、场地发生重大变化;
Significant changes to the product structure, production scale, or site covered by the management system;
- 组织负责人, 尤其是最高层或管理者代表发生变动, 或组织机构发生了较大的变动;
Changes to the organization's leaders, particularly the top-level, management representatives, or significant changes to the organization's structure;
- 发生了重大的质量、环境污染超标排放事故、重大安全事故;
Major incidents of quality, environmental pollution, excessive emissions, or significant safety accidents;
- 国家主管部门的产品或环境及安全抽查不合格;
Products or environmental and safety inspections carried out by the competent national authorities have been found to be non-compliant during spot-checks;
- 产品出现较大批量的不合格或因质量问题引起了用户退货, 且退货量较大;
The product has been found to have significant nonconformities in large batches or has resulted in significant returns due to quality issues raised by clients;
- 用户有重大投诉并产生了较大影响的;
Significant user complaints that have a major impact;
- 其它涉及认证范围的改变;
Other changes related to the certification scope;
- 联系方式发生变化时。
Changes in contact information.

5.3.2 即是说, 凡与管理体系有关的较大变化, 影响到管理体系运行及其有效性的, 都应在通报的范围之内。

In other words, any significant changes related to the management system that affect its operation and effectiveness should be within the scope of the notification.

5.3.3 书面报告的内容包括情况说明、原因, 已采取或拟采取的措施等, 事后须向本公司报告纠正结果的情况。

The written report shall include a description of the situation, the reasons, corrective actions that have been taken or proposed to be taken, and the follow-up report on corrective actions to be submitted to our company.

5.4 投诉 / 申诉 / 争议的处理规则: Rules for handling complaints/appeals/disputes:

执行《GEC-MP-08 申、投诉和争议处理程序》和《GEC-MR-15 申投诉调查小组工作规则》的有关规定。
Implement the relevant provisions of *GEC-MP-08 Appeals, Complaints and Dispute Handling Management Procedure* and *GEC-MR-15 Appeal / Complaint Investigation Team Operation Regulations*.

5.5 扩大或缩小认证范围及组织名址的变更

Changes to the certification scope, organization's name and address.

5.5.1 扩大认证范围的情况 Expanding the certification scope

- 如管理体系依据的模式标准变化;
Changes in the model standards on which the management system is based
- 增加管理体系覆盖的产品;
Addition of products covered by the management system

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- 管理体系覆盖的运作场所增大。
Enlargement of the operation sites covered by the management system
- 5. 5. 2 缩小认证范围的情况 Reducing the scope of certification
 - 如管理体系依据的模式变化；
Changes in the model standards on which the management system is based
 - 减少管理体系覆盖的产品或原产品中部分停产或改产；
Reduction of products covered by the management system, including the cessation or change of production of some original products
 - 管理体系覆盖产品的运作场所缩小。
Reduction of the operation sites covered by the management system.
- 5. 5. 3 申请方式 Application process

获证组织要求扩大或缩小认证范围时，应在下次监督或复审前的一个月內提出书面申请，填写申请表、签订认证合同，原则上，不临时接受扩大范围的申请；如获证组织确实有相关需要，也可单独增加实施（在此情况下，不改变原有审核周期） **《GEC-MP-06 监督、再认证审核程序》**

When a certified organization requests to expand or reduce the scope of certification, it should submit a written application within one month before the next surveillance or recertification audit, fill out the application form, sign the certification contract, and in principle, not accept the application to expand the scope temporarily. If the certified organization have any relevant needs, it can also increase implementation for specific (in this case, the original audit cycle will not change), in accordance with the **GEC-MP-06 Surveillance and Recertification Audit Procedure**. The following information should be included in the application:

 - 要求扩大或缩小认证范围的有关产品的说明书；
Product descriptions related to the requested expansion or reduction of certification scope;
 - 申请扩大的产品的研制或生产全过程能力（包括技术要求、工艺流程、关键 / 特殊工序、新添重要设施，人员培训等）的说明；
Description of the entire development or production process capabilities for the products requested to be expanded (including technical requirements, process flows, key/special processes, new important facilities, personnel training, etc.);
 - 申请缩小认证范围的理由和改产 / 停产说明；
Reason for applying to reduce the certification scope and explanation of production changes or discontinuations
 - 手册、程序相应增删部分。
Relevant changes to the manuals and procedures.
- 5. 5. 4 审核 Audit
 - 5. 5. 4. 1 审核组按照有关认证审核的程序实施审核并完成有关规定的记录，尤其对扩大认证范围的过程、产品及其所涉及的文件制度、人员能力等进行重点检查与取证。
The audit team shall conduct audits in accordance with the relevant certification audit procedures and complete the prescribed records, with a focus on conducting key inspections and gathering evidence related to the process of expanding the scope, products, documentation systems involved, and personnel capabilities.
 - 5. 5. 4. 2 当获证组织的扩大认证范围的产品、过程取证无具体事实的，公司不予认同其扩大该认证范围。

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When there is no specific evidence for the products or processes involved in the expansion of the certified scope of the certified organization, the company shall not approve the expansion of the certification scope.

5.6 再认证的申请 Application for Recertification

证书有效期届满或者恢复使用已暂停的证书，组织如要继续保持对其管理体系的认证，可向本公司提出再认证申请，再认证一般应在证书有效期到期 1 个月内向认证本公司提交管理体系申请表并签订认证合同，再认证后重新颁发认证证书，进入下一个证书有效期。

If an organization wishes to maintain certification of its management system upon expiry of the certificate or restoration of a suspended certificate, it may apply for re-certification to our company. The application for re-certification generally should be submitted to our company within one month before the certificate expires, by completing the management system application form and signing the certification contract. Upon successful re-certification, a new certificate will be issued for the next certification cycle.

5.7 授予、保持、更新、暂停、撤销认证或缩小认证范围的处置：

Granting, Maintaining, Renewing, Suspending, Withdrawing Certification, or Reducing Certification Scope: 执行《GEC-MP-07 授予、保持、更新、暂停、撤销、变更（含特殊临时审核）、恢复认证程序》的有关规定。

Follow the relevant provisions of

GEC-PM-07 Granting, Maintaining, Renewing, Suspending, Withdrawing, Changing (Including Special Temporary Audit), Restoring Certification Management Procedure.

5.8 认证要求的更改 Certification Requirements Changes

5.8.1 当认证要求（如管理体系认证标准换版）发生变化，本公司将要求获证组织变更体系以适应认证要求的变化并实施审核。对于新标准转换，获证组织应按适宜的新标准修改文件，并运行三个月，实施了内审和管理评审，本公司依据双方签订的合同和申请表，对获证组织依据新版本标准实施审核通过后，换新版标准的证书，证书有效期为三年。

When certification requirements (such as changes in management system certification standards) change, our company shall require the certified organization to change its system to adapt to the changes and carry out an audit. For new standard conversions, the certified organization shall modify its documents according to the appropriate new standard and operate for three months, conduct internal audits and management reviews. Upon successful audit by our company in accordance with the contract and application form signed by both parties, our company will issue a new version of the certificate based on the new standard, with a validity period of three years.

6. 规则事项概述 Overview of Regulatory Issues

6.1 本公司全体成员感谢你们选择了我们作为合作的伙伴，并对贵组织的质量、环境、职业健康安全管理体系获得认证注册表示衷心的祝贺。我们热烈欢迎贵组织加入本公司的信誉共同体，在证书有效期内，本公司与贵组织将荣辱与共，协同完成获证管理体系的维护、改进工作，继续深化质量、环境、职业健康安全管理体系，以期取得更佳的经济效益及社会效益。

All members of our company thank you for choosing us as a partner and extend our sincere congratulations to your organization for achieving certification registration of quality, environmental, and occupational health and safety management systems. We warmly welcome your organization to join the reputation community of our company. During the validity period of the certificate, our company will share honor and disgrace to you, cooperate to maintain and improve the certified management system, continue to deepen quality, environmental, and occupational health and safety management, and strive to achieve better economic and social benefits.

6.2 本公司对获证管理体系维护管理的归口部门为客服部，负责组织协调本公司与获证组织间的日

	国恒认证检测（广东）有限公司 G-Eternal Certification & Inspection(GuangDong)Co.,Ltd.		编号 Doc. No.: GEC-PD-02 更新日期 Update Date: 2023/6/1
	公开文件--管理体系认证获证后基本规则 Public Document - Basic Rules for After Certification of Management System		版本/次 Version/Edition: A/3

常联络、监督检查等工作，本公司行政部协助其工作。同时本公司将试行在与获证组织协商后，以客户经理的定向顾问形式，保持日常联络的常态化。另外，本公司负责对来自获证组织、有关政府职能部门、社会团体和个人的重大申诉和投诉的处理。

The client service department is responsible for the maintenance and management of the certified management system and is the coordinating department for daily communication, supervision and inspection between our company and the certified organization. The administrative department of our company assists its work. At the same time, our company will try to maintain regular contact with the certified organization through designated client managers after consultation with the certified organization. In addition, our company is responsible for handling significant appeals and complaints from the certified organization, relevant government functional departments, social organizations, and individuals.

- 6.3 对管理体系获证的维护管理须符合国家有关的认可规范及作为信誉共同体的一致性要求，为此本公司与贵组织必须协同，以便在对获证管理体系的维护过程中，在所涉及的各方面工作上都能保持良好的运作。

The maintenance and management of the certified management system must comply with the relevant national accreditation standards and consistency requirements as a reputation community. Therefore, our company and your organization must cooperate to ensure that all aspects of the work involved in maintaining the certified management system can operate well.

7. 参考文件 Reference

《GEC-PD-04 认证认可标识（牌）使用及认证证书管理规定》

GEC-GK-04 Reference to Certification and Use of Marks

《GEC-MP-06 监督、再认证审核程序》

GEC-MP-06 Surveillance and Recertification Audit Procedure

《GEC-MP-08 申、投诉和争议处理程序》

GEC-MP-08 Appeals, Complaints and Dispute Handling Management Procedure

《GEC-MR-15 申投诉调查小组工作规则》

GEC-MR-15 Appeal / Complaint Investigation Team Operation Regulations

8. 相关记录 Related records

上述文件涉及的所有记录

All records involved in above documents