

	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-07 更新日期: Update Date: 2023/10/24
	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 Granting, Maintaining, Renewing, Suspending, Withdrawing, Changing (Including Special Temporary Audit), Restoring Certification Management Procedure	版本/次: Version/Edition: A/4

程序文件

Procedure Document

受控状态：受控 ☒ 非受控 ☐

Controlled condition:

受控文件



编制：技委会 Prepared by: Technical Committee

审核：胡良辉 Reviewed by: Andrew Hu

批准：马玉华 Approved by: Cindy Ma

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.

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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 Objective

确保本公司管理体系认证注册资格的授予、保持、更新、暂停、撤销、变更（含特殊/临时审核）、恢复认证的工作完整受控。

Ensure that the certification registration qualification work of the management system like granting, maintaining, renewing, suspending, withdrawing, changing (including special/temporary audit), restoring, are completely be controlled.

2.适用范围 Appropriate Scope

本公司所有管理体系审核活动的认证注册资格授予、保持、更新、暂停、撤销、变更（含特殊/临时审核）、恢复认证程序范围均属于。

All the management system audit activities of certification registration qualification like granting, maintaining, renewing, suspending, withdrawing, changing (including special/temporary audit), restoring, are the scope of this article.

3.职责 Responsibility

3.1 审核部：提供初次认证审核、监督审核和再认证结果的全部资料；

Audit Department: provide all the information of the initial certification audit, surveillance audit and re-certification results;

3.2 业务部/客服部：提供对获证客户日常监督的信息；

Business Department/Customer Service Department: Provide daily surveillance information for certified customers;

3.3 审核组长：审核结果的推荐提交

Audit team leader: Recommend and submit the audit results

3.4 行政部：对授予、保持、更新、暂停、撤销、变更（含特殊/临时审核）、恢复认证资格的通报和网站更新。

Administration Department: Notification of granting, maintaining, renewing, suspending, withdrawing, changing (including special/temporary audit) restoring certification qualification and website update.

3.5 管理代表/技委会：组织各部门对授予、保持、更新、暂停、撤销、变更（含特殊/临时审核）、恢复认证活动的审议管理；

Management representative/Technical Committee: Organize the review and management of granting, maintaining, renewing, suspending, withdrawing, changing (including special/temporary audit) resuming of all departments;

3.6 总经理负责最终批准处理决定。

The General Manager is responsible for the final approval of the disposal decision.

4.定义 Definition

参考和引用 《GB/T19000-2016》和 《CC01》的所有涉及内容

Refer and cite all relevant contents of *GB/T19000-2016* and *CC01*

5.管理程序 Management Procedure

5.1 认证注册资格的授予、更新（再认证）

Granting and renewing of Certification Registration Qualification (re-certification)

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5.1.1 授予、更新认证资格的条件

Conditions for granting and renewing certification qualifications

5.1.1.1 管理者代表组织审议人员根据客观证据进行评价，并在此基础上做出认证决定向公司技委会推荐。审核部应向管理者代表提交以下信息：

The management representative shall organize the review personnel to evaluate according to the objective evidence, and make the certification decision to recommend to the Technical committee of the company on the basis of this. The Audit Department shall submit the following information to the management representative:

a. 审核计划及审核报告；

Audit plan and audit report;

b. 对是否授予认证的推荐性意见及附带的任何条件或评价；

A recommendation on whether certification should be granted and any conditions or evaluations attached to it;

c. 对申请材料中相关信息的符合性、准确性的确认意见；

Confirming opinions on the conformity and accuracy of the relevant information in the application materials;

d. 不符合报告及其纠正措施有效性证据以及验证和关闭意见；

Non-conformity reports and evidence of effectiveness of their corrective actions, as well as comments on validation and closure;

e. 审核记录及其他相关证实性材料。

Audit records and other relevant supporting materials.

5.1.1.2 在此基础上，具体应符合：

On this basis, the specific shall comply with:

a. 受审核方的管理体系文件基本符合标准要求；

The management system documents of the auditee basically meet the requirements of the standard;

b. 受审核方的管理体系运行基本有效；

The management system of the auditee is basically effective;

c. 受审核方的产品质量/环境/职业健康安全影响等方面符合法律法规和有关标准，无违法违规、突发事件；

The auditee's product quality/environment/occupational health and safety impact and other aspects comply with laws and regulations and relevant standards, no violations of laws and regulations, no unexpected accidents;

d. 所有不符合项纠正措施均在规定时间内完成并经审核组验证有效（一般不符合不超过 1 个月）；

All corrective actions for nonconformity items are completed within the required duration and verified by the audit team as effective; (For minor NC, no more than 1 month)

e. 在审核中发现的受审核方的严重不符合不超过两项，且在审核组规定的期限内（最长不超过 90 天），已实施了纠正和纠正措施，并经验证有效；

No more than 2 major nonconformities are found during the audit, and the auditee submitted correction and corrective actions to the NCs and verified to be effective by the audit team within the time limit specified by the audit team (no more than 90 days)

5.1.2 工作程序

Working procedure

5.1.2.1 审核部向管理代表提交现场审核结果的全部资料进行审议，资料必须齐全且受审核方的所有不

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符合项纠正措施经审核组长或开具不符合的审核员本人验证有效(纠正措施有效性验证应在收到受审核方纠正措施验证报告后的一周内完成)。

The audit department shall submit all the information of on-site audit results to the management representative for consideration. The information shall be complete and all the corrective measures of nonconformity of the auditee shall be verified as valid by the audit team leader or the auditor who issued the nonconformity (the validity verification of corrective measures shall be completed within one week after receiving the verification report of corrective measures of the auditee).

5.1.2.2 管理者代表接到受审核方的全部资料后，组成审议组进行审议;审议组要求如下：

After receiving all the information from the auditee, the management representatives shall form a review group for deliberation. The Group requested as following:

a. 审议组由总经理授权的“参与认证推荐决定的人员”组成：

The review group shall be composed of "persons involved in the certification recommendation decision" authorized by the General Manager:

b. 参与认证决定推荐人员的资格，应符合公司 **《GEC-MR-18 管理体系认证人员专业能力评定准则》** 的有关规定要求；

The qualification of the recommended personnel shall comply with the relevant requirements of the company's ***GEC-MR-18 Regulations for the evaluation of professional competence of management system certification personnel***

d. 审议组一般由 2 人组成（即为：评卷主管和认证审核方案管理员），其中至少一人为专业人员(专业审核员)，当受审核方专业范围跨类时，每一类必须有 1 名本专业人员；（审核组成员不可以进入自己参与的审核项目的审议组；公司可以外聘符合资格的专家进入审议组，此种情况下，应符合 **《GEC-MP-03 人员聘任、使用、监视考核和培训管理程序的相关规定》**）

The review group is generally composed of 2 people (i.e.: the marking supervisor and the certification audit program manager), at least one of them is a professional (professional auditor). When the professional scope of the audited party crosses categories, each category must have 1 professional personnel; (Audit team members are not allowed to enter the review group of the audit project they participate in. The company may appoint external qualified experts to join the review group. In this case, it shall comply with the relevant provisions of ***GEC-MP-03 Employer recruitment, usage, monitoring, evaluation and training management procedure.***)

人员应与该项审核活动无关。

The reviewer shall not be associated with the audit activity.

5.1.2.3 审议组按 **《GEC-MR-22 认证案卷评定要求》** 和公司相关制度的要求对审核组认证推荐项目的全部资料和受审核方的其它信息进行书面审查，必要时向审核组长提出质询，并于 **《GEC-05-22 管理体系审核案卷评审评价表》**，作出是否同意认证注册的推荐结论。

Review group conduct written review according to the ***GEC-MR-22 Audit Files Evaluation Regulations*** and the company's relevant system requirements of the audit group certification recommended project all information and other information audited by the auditee. Address inquiries to the audit team leader if necessary, and Make a conclusion on whether to approve the certification registration in the ***GEC-05-22 Audit Files Evaluation Record.***

5.1.2.4 审议采用一票否决权，总经理进行复核准并根据审议人员的结论作出认证决定推荐，签发认证文件（即证书）。

One-vote veto shall be adopted in the deliberation. The general manager shall review the approval and make the certification decision recommendation based on the conclusion of the deliberation personnel, and issue

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the certification document (i.e., certificate).

注 1: 本公司所有不符合的验证必须在规定周期内完成（见 5.1.1），但如整改措施涉及外部行政许可如监测、仪校/检定、产品型式试验等且确属因此类活动的延误可不受此限。

Note 1: All verification of non-conformity by the company must be completed within the specified period. The corrective actions involves an external administrative permission such as monitoring, instrument calibration/verification, product type testing, etc., are not subject to this limitation.

注 2: 认证决定活动时间可在不符合的验证周期内或之后。

Note 2: The timing of the certification decision activity may be during or after the non-conforming certification cycle.

5.1.2.4.1 本公司认证证书编号示例如后: GEC509 X XXXXXX XX R XX, 规则说明如下: GEC: 本公司简称, 509: 认监委批准号, X (一位码), 依受审核体系分别为: Q (质量)、E (环境)、S (职业健康安全), XXXXXX (六位码): 合同受理日期, XX: 当日流水号, 自 01 开始, R: 注册, XX (两位码): 注册周期, 首次注册为 01, 第一次再注册为 02, 依此类推。

The example of the company's certification certificate number is as follows: GEC509 X XXXXXX XX R XX. The rules are explained as follows: GEC: abbreviation of the company, 509: CNCA approval number, X (one-bit code), according to the audited system: Q (Quality), E (Environment), S (Occupational health and safety), XXXXXX (six-digit code) : contract acceptance date, XX: serial number of the day, starting from 01, R: registration, XX (two-digit code) : registration period, 01 for the first registration, 02 for the first re-registration, and so on.

5.1.2.4.2 本公司认证证书日期和监督识别说明: 本次发证日期: XXXX 年 XX 月 XX 日: 本公司本次认证决定日期; 本次生效日期: XXXX 年 XX 月 XX 日: 本证书正式生效日期, 首次注册日期: XXXX 年 XX 月 XX 日: 客户首次发证日期, 注册截止日期: XXXX 年 XX 月 XX 日: 本认证周期到期日期 (三年), 同一认证周期内每次监督审核完成后加贴防伪标签, 同时以证书上之二维码更新信息; 有效期内转机构并列为再认证的证书注明原发证时间和延续原到期周期。

The date of the company's certification certificate and supervision identification: Latest Decision Date: XXXX year XX month XX day Latest Decision Date: XXXX year XX month XX day. the date of certification decision making: XXXX year XX month XX day; Latest Effective Date: the date of the certificate begin to be effective; of Initial Certification Date: the date of client's certificate first be issued (including transferred certificate in effective date), Registration Expiry Date: the last day of this certification cycle (three years), after successfully completion of each surveillance audit in a certification cycle, an anti-counterfeiting label will be posted to the certificates , at the same time, certificate information of the QR code on the certificate will be updated; for transferred certificate before expiration which are handled as recertification, the original issue date and expiration date will be used.

5.1.2.4.3 本公司内审员证书编号示例如后: GECXXXX X I XXXXXX, 规则说明如下: GEC: 本公司简称, XXXX (四位码): 学员身份证后四位, X (一位码), 依受审核体系分别为: Q (质量)、E (环境)、S (职业健康安全), IA (IATF)、HSF (QC080000), I: 内审员资格, XXXXXX: 年度流水号, 如 190001..., 并加盖本公司钢印或证书专用章防伪。

The example of the company's internal auditor certificate number is as follows: GECXXXX X I XXXXXX, the rules are explained as follows: GEC: the company abbreviation, XXXX (four code) : the student ID card after four, X (one code), according to the audited system respectively: Q (Quality), E (Environment), S (Occupational Health and Safety), IA (IATF), HSF (QC080000), I: Internal auditor qualification, XXXXXX: Annual serial number, such as 190001... And stamped with the company's seal or certificate special seal for

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anti-counterfeiting.

5.1.2.4.4 本公司内校员证书编号示例如后：GECXXXX C XXXXXX，规则说明如下：GEC：本公司简称，XXXX（四位码）：学员身份证后四位，C：校验英文首字母，XXXXXX：年度流水号，如190001...，并加盖本公司钢印或证书专用章防伪。

The example of the school member certificate number in the company is as follows: GECXXXX C XXXXXX, the rules are explained as follows: GEC: the abbreviation of the company, XXXX (four digits code) : the last four digits of the student's ID card, C: check the English first letter, XXXXXX: annual serial number, such as 190001... And stamped with the company's seal or certificate special seal for anti-counterfeiting.

5.1.2.5 行政部于认证证书信息上报完成后，在公司网站上即时公布授予或更新认证的组织名录，同时报送认监委统一查询平台。

After the certification information is reported, the administration department will immediately publish the list of organizations that have granted or updated certification on the company's website, and submit it to the CNCA unified query platform.

5.1.2.6 发放证书时随证发放《GEC-07-01 管理体系认证证书注册恭贺函》、《GEC-07-02 证书查询说明》、《GEC-PD-04 认证认可标识（牌）使用及认证证书管理规定》等

When issuing certificates, the certificates are issued with the *GEC-07-01 Congratulatory letter of management system certification registration, GEC-07-02 Certificate Inquiry Instructions, GEC-PD-04 Certification/Accreditation Mark (Brand) Use and Certification Certificate Management Requirements etc* together.

5.1.2.7 客服部于与获证方确认其有收取证书等材料（采用在线确认）。

The Customer Service Department shall confirm with the certificated party that it has received the certificate and other materials (using online confirmation).

5.2 认证注册资格的保持

5.2 Maintenance of certification registration qualifications

5.2.1 认证注册资格保持的条件

Conditions for the maintenance of certification registration qualification

a.获证方的管理体系运行良好，无严重不符合或发现个别严重不合格项已在规定时间内纠正并经验证有效；

The management system of the certified party is in good operation with no serious nonconformity or individual serious nonconformity items are found to have been corrected within the prescribed time and have been verified to be effective;

b.获证方上次审核的所有不符合纠正措施保持有效；

All corrective actions for nonconformity last reviewed by the certifier remain in effect;

c.获证方的证书和标志使用符合规定要求；

The use of certificates and marks by the licensee meets the specified requirements;

d.产品实物质量稳定/环境/职业健康安全监测无违法超标,无重大事故、无顾客/相关方重大投诉；

The product physical quality is stable. Environment is safe. Occupational health and safety monitoring has no illegal exceeding. The company has no major accidents and no major complaints from customers or relevant parties.

e.纠正措施在规定期内提交审核组验证有效。

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Nonconformity corrective actions shall be submitted to the audit team within the specified period for verification.

5.2.2 保持认证资格的审批程序

Maintain the approval procedures for certification qualifications.

5.2.2.1 审核部将监督审核的全部资料在对获证方所有不符合纠正措施验证有效后，提交技委会审议。审核组对获证方不符合纠正措施的验证应在收到获证方纠正措施验证报告一周内完成。若因受审核方纠正措施不到位，应立即通知对方重新提交，超出期限的应有充分理由，并作出书面说明。

The Audit Department shall submit all the materials of supervision audit to the Technical Committee for consideration after verifying the effectiveness of all the nonconformity corrective measures of the certificated party. Verification by the Audit team of the Certified Party's nonconformity corrective action shall be completed within one week of receipt of the Certified Party's corrective Action verification report. If the audited party's corrective measures are not in place, it shall immediately notify the auditee to resubmit it, and there shall be sufficient reasons for exceeding the time limit, and make a written explanation.

5.2.2.2 审核部按以下要求，组织审议人员对审核材料进行审核审议或对审核组推荐性意见进行确认，以决定是否保持认证资格。对监督审核材料，由至少 1 名经授权的“参与认证决定推荐审定人员”的本专业人员，按照《GEC-MR-22 认证案卷评定要求》规定要求的内容和程序进行审议。（当受审核组织产品范围跨类时，每一类均需一名本专业人员进行审议并记录于《GEC-05-22 管理体系审核案卷评审评价表》。

The Audit Department shall, according to the following requirements, organize the review personnel to review the audit materials or confirm the recommended opinions of the audit team to decide whether to maintain the certification qualification. The supervision of the audit materials, at least 1 authorized "participation in the certification decision to recommend the audit personnel" of the professional personnel, in accordance with the **GEC-MR-22 Audit Files Evaluation Regulations** content and procedures conduct deliberation. (When the product range of the audited organization crosses categories, each category requires a professional to review and record in the **GEC-05-22 Audit Files Evaluation Record**.

5.2.2.3 如无变更时，发放“年审合格标贴”并于网站更新相关信息

If there is no change, the "**Annual Qualification Label**" will be issued and the relevant information will be updated on the website

5.2.2.4 后续推荐决定、认证决定等工作执行 5.1.2.4-5.1.2.5 条款流程。

The subsequent recommendation decision and certification decision shall be carried out according to the clause 5.1.2.4-5.1.2.5 process.

5.2.2.5 如有证书变更时，执行 5.1.2.6 和 5.1.2.7 的工作。

If there is a certificate change, perform the work of 5.1.2.6 and 5.1.2.7.

5.3 认证注册资格的暂停和恢复

Suspending and restoring of certification registration

5.3.1 获证客户有下列情况之一时，将被暂停认证注册资格：

A certified customer will be suspended from certification registration if:

a. 监督审核时，发现管理体系存在严重不符合或重复发生的不符合，影响管理体系符合性和有效性；
During the supervision and audit, it is found that there are serious nonconformity or repeated non-conformance in the management system, which affects the compliance and effectiveness of the management system;

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b.监督审核后，不按审核组规定提交不符合项的纠正和纠正措施及实施结果或纠正措施验证无效；
After the surveillance audit, do not submit the corrective and corrective actions of the nonconformity items and the implementation results or the corrective actions are verified to be invalid according to the provisions of the audit team;

c.不按规定要求使用认证证书和标志，经指出后仍未纠正；

The use of certification certificates and marks is not in accordance with the requirements of the regulations, and has not been corrected after being pointed out;

d.不按规定交纳认证费，且指出后仍不交纳；

Failing to pay the certification fee according to the regulations, and still failing to pay after pointing out;

e.产品质量被法定部门抽检不合格;环安被法定部门监测超标或有顾客/相关方重大投诉和抱怨，没有采取有效的纠正和纠正措施；

Product quality is unqualified by statutory department sampling inspection; Environmental safety is monitored by statutory departments to exceed the standard or there are major complaints and complaints from customers/relevant parties, and no effective corrective and corrective measures are taken;

f.因获证客户的原因，不能按规定的监督审核时限，且距前次审核超过 12 个月未实施监督审核或再认证审核；

Failing to comply with the prescribed supervision and audit time limit due to the certificated customer, and failing to implement supervision and audit or re-certification audit more than 12 months after the previous audit;

g.获证客户主动请求暂停。

The certified customer initiates the suspension.

5.3.2 发出暂停时获证客户的管理体系认证暂时无效，按下述程序处理：

When the suspension is issued, the management system certification of the certified customer is temporarily invalid, and the following procedures are applied:

a.审核组根据 5.3.1a、b)等情况，在审核现场决定暂停的，由审核组长提出报告，经管理者代表审批，行政部制定 **《GEC-07-03 认证资格撤销暂停处理审批表》**；并报总经理批准（下同），客服部发送 **《GEC-07-04 认证资格暂停》**、注销和撤销处理通知单至获证方。当撤销或暂停恢复时，行政部将 **《GEC-07-05 恢复认证资格通知书》** 报总经理批准后寄给获证企业。

According to 5.3.1a, b), etc., when deciding to suspend in the audit site, the audit team leader should prepare report, and approved by the management representative; The Administration Department should formulate **"GEC-07-03 Certification Qualification Withdrawal Suspension Processing Approval Form"** and report to the general manager for approval (the same below), and the Customer Service Department should send the **"GEC-07-04 Notice of suspension, cancellation and withdrawal"** and cancellation and revocation processing notice to the certificated party. When revoking or suspending the recovery, the Administrative Department will submit the **GEC-07-05 Certificate of Maintenance/Restoration of Certification Qualification** to the General Manager for approval and send it to the certificated enterprise.

b.发生 5.3.1.e)情况时，由审核部主管派专业审核组进行调查、审核、提出整改要求限期改进，届时由专业审核组确认，必要时按 5.3.2 a) 处理；

when situation of 5.3.1.e happened, the head of the Audit Department should send professional audit team to investigate, audit, rectify for improvement within a time limit, confirm by professional audit team, processing in accordance with 5.3.2a) if necessary.

c.认证审议中做出暂停决定的，由行政部根据决定，下达 **《GEC-07-04 认证资格暂停、注销和撤销处**

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理通知单》:

If the suspension decision is made during the certification review, the administrative department shall issue the ***GEC-07-04 Notice of suspension, cancellation and withdrawal*** according to the decision;

d. 受审核方不按期提交不符合项纠正和纠正措施实施报告的，审核组做出多次催促不提交书面说明，应反映到行政部。行政部再次催交、沟通、仍不提交的做出暂停建议，报管理者代表批准后，下达 ***《GEC-07-04 认证资格暂停、注销和撤销处理通知单》***;

If the auditee fails to submit the nonconformity and corrective action report on time and the audit team has repeatedly urged for the written explanation of submission delay, the audit team should reflect to the Administration Department. After the Administration Department urged and communicated repeatedly with the auditee who still does not submit the nonconformity and corrective action report, submit to the management representative for approval.

发生 5.3.1c)、d)、f)、g) 及其他情况的，由行政部提出书面报告，经总经理批准后，下达 ***《GEC-07-04 认证资格暂停、注销和撤销处理通知单》***;

In case of 5.3.1c), d), f), g) and other circumstances, the Administrative Department shall submit a written report and issue the ***GEC-07-04 Notice of suspension, cancellation and withdrawal*** after approval by the General Manager;

f. 行政部每月定期将上月暂停认证资格的组织名录在公司网站上公布，准确标识其“注册状态”。

The Administration Department will publish the list of organizations that have suspended the certification qualification in the previous month on the company's website every month, accurately marking their "registration status".

5.3.3 认证资格的暂停时间一般为 6 个月。暂停情况由行政部报国家认证认可监督管理委员会备案，同时通过 CCAA 的自律监管系统及时将审核不予通过、暂停认证证书的有关信息，通过暂停转换信息上报 CCAA（恢复亦同）。

The suspension period of certification is generally 6 months. The suspension shall be reported by the Administration Department to the Certification and Accreditation Administration for the record. At the same time, through the self-regulation system of CCAA, the relevant information of the certification certificate that is not approved and suspended will be audited in time, and the information of the suspension conversion will be reported to the CCAA (recovery is also the same).

5.3.4 上述暂停后应获证组织后续整改或要求恢复的，公司对该组织进行恢复受理，但必须要经过获证组织书面申请、合同评审以及现场审核程序的要求进行（必须在暂停期内完成）。

（上述规定如有冲突时，以 CNCA 规定为最终解释）

If the certified organization shall make subsequent rectification or request resumption after the suspension, the Company shall resume the acceptance of the organization, but only after the written application of the certified organization, contract review and on-site audit procedures (which must be completed within the suspension period). (In case of any conflict between the above provisions, the provisions of CNCA shall be final.)

5.4 认证注册资格的注销、撤销和恢复

Authenticate the cancellation, withdrawing and restoring of registration

5.4.1 获证客户有下列情况之一时，将被撤销或缩小认证范围：

The scope of the certification will be withdrawn or reduced under any of the following circumstances:

a) 暂停认证期限内，未按规定期限实施纠正和纠正措施或纠正措施无效，经指出后仍不整改或整改

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后仍达不到要求;

During the suspension of certification period, the corrective and corrective measures are not implemented according to the prescribed time limit or the corrective measures are invalid, and the rectification is still not rectified after being pointed out or the rectification is still not up to the requirements;

b) 获证客户管理体系严重失效，经监督审核确认不能继续保持正常运行，且在3个月内无法纠正；

The management system of the certified client is seriously invalid, which cannot continue to maintain normal operation after the supervision audit, and cannot be corrected within 3 months;

c) 获证客户发生重大质量/环境/安全事故或严重违反管理体系认证有关的法律、法规并造成严重后果；

The certified client has a major quality/environment/safety accident or a serious violation of the laws and regulations related to the management system certification and causes serious consequences;

d) 获证客户拒不接受规定的例行监督审核且超过暂停期三个月。

The certified client refuses to accept the prescribed routine surveillance and audit and exceeds the suspension period of three months.

5.4.2 审核组根据 5.4.1a)、b) 情况，分析获证客户是否在认证范围某些部分发生严重不符合或重复发生不符合，必要时可缩小其认证范围，以排除不满足要求的部分，但缩小认证范围的管理体系仍应符合标准要求。审核组长在经获证客户同意后提出报告报审核部主管处理。

According to 5.4.1a), b), audit team analysis of the certified customer in some parts of the scope of certification serious nonconformity or repeated non-conformity. the scope of certification can be narrowed to exclude the part does not meet the requirements, but narrow the scope of certification management system should still meet the standard requirements. The audit team leader shall submit a report to the supervisor of Audit Department after obtaining the approval of the certified customer.

5.4.3 审核组根据 5.4.1c、d)情况时，由审核部主管派专业审核组进行调查、审核、提出整改要求限期改进，届时由专业审核组确认再形成相关决定。

Audit team according to 5.4.1c, d) situation, by the audit department supervisor sent professional audit team to investigate, audit, rectification requirements to improve within a time limit, by the professional audit team to confirm the formation of relevant decisions.

5.4.4 当管理体系不能缩小认证范围，公司做撤销或暂停处理时，由行政部提交《GEC-07-03 认证资格撤销/暂停处理审批表》由审核部主管和管理者代表组织调查确认签字，报总经理批准。行政部制作《GEC-07-04 认证资格暂停、注销和撤销处理通知单》以适宜的方式传递给原获证客户。当撤销或暂停恢复时，行政部将《GEC-07-05 恢复认证资格通知书》报总经理批准后寄给获证企业。

When the management system cannot narrow the scope of certification and the company does revoke or suspend processing, the administrative department shall submit the " *GEC-07-03 Certification Qualification Withdrawal Suspension Processing Approval Form*" to the head of the Audit Department and the management representative to organize the investigation, confirm and sign, and report to the General Manager for approval. The Administration Department shall make " *GEC-07-04 Notice of suspension, cancellation and withdrawal* " and pass it to the original certificated customer in an appropriate way. When revoking or suspending the recovery, the Administrative Department will submit the *GEC-07-05 Certificate of Maintenance/Restoration of Certification Qualification* to the General Manager for approval and send it to the certificated enterprise.

5.4.5 行政部于每月定期将上月撤销认证资格的组织名录行政部在公司网站上公布，准确标识其“注册状态”。

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The Administration Department shall publish on the Company's website the list of organizations whose accreditation has been revoked in the previous month on a monthly basis to accurately identify their "registration status".

5.4.6 恢复和撤销认证注册资格的信息，由行政部按要求，及时、准确上报。

The Administrative Department shall timely and accurately report the information of restoring or withdrawing the certification and registration qualification according to the requirements.

5.4.7 认证资格的撤销时间一般为 6 个月。撤销情况由行政部报国家认可委员会备案，同时通过 CCAA 的自律监管系统及时将审核不予通过、撤销认证证书的有关信息，通过暂停转换信息上报 CCAA（恢复亦同）。

The revocation time of certification qualification is generally 6 months. The withdrawing situation should record by the Administrative Department of the National Accreditation Committee and timely report the information of audit failure and revocation of certification through CCAA's self-regulatory system, and report the information of suspension conversion to CCAA (Restoring is also the same).

5.4.8 上述撤销后，应获证组织后续整改或要求恢复的，公司对该组织进行恢复受理。但必须要经过书面申请、合同评审以及再认证审核程序的要求进行审核。分别执行 **《GEC-MP-04 管理体系认证申请及评审控制程序》**和 **《GEC-MP-05 初次认证审核程序》**。

（上述规定如有冲突时，以 CNCA 规定为最终解释）

After the above withdrawing, if the certified party asks for subsequent rectification or recovery, the Company shall accept the recovery of the organization. But it must be reviewed by the requirements of written application, contract review and recertification audit procedures. Respectively execute **GEC-MP-04 Management System Certification Application and Review Management Procedure** and "**GEC-MP-05 Initial Certification Audit Management Procedure**". (In case of any conflict between the above provisions, the provisions of CNCA shall be final.)

5.4.9 认证资格的注销 Cancellation of Certification Qualifications

出现下述情况时，本公司将对已颁发的管理体系认证证书进行注销作业：

The company will cancel the issued management system certificate in the following situations:

- 认证证书有效期届满，认证委托人未申请延期使用的；
The certificate has been expired, and the client has not applied for an extension.
- 认证委托人（或证书持有人）/生产厂由于企业破产、倒闭、解散、生产结构调整等原因致使获证产品不再生产，认证委托人主动放弃保持认证证书的；
The client (or certificate holder)/manufacturing plant no longer produces certified products due to reasons such as bankruptcy, closure, dissolution, or production structure adjustment of the enterprise, and the client voluntarily gives up maintaining the certificate.
- 获证产品型号已列入国家明令淘汰或者禁止生产的产品目录的；
The certified product has been officially phased out or prohibited by the state.
- 认证委托人（或证书持有人）申请注销的；
The client (or certificate holder) applies for cancellation.
- 因法规变更必须实施注销的；
The cancellation must be implemented due to the changes in laws and regulations.
- 其他应当注销认证证书的情形。
Other situations where the certificate should be cancelled.

注：1.注销的审批和上报流程同上；

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The approval and reporting process for cancellation is the same as above.

2.已注销的证书不可再申请恢复。

Cancelled certificates cannot be applied for restoration again

5.4.10 认证资格暂停、撤销、注销的申/投诉管理

Appeals/complaints management for suspension, withdrawal and cancellation of certification qualifications

申请人和认证证书的持有人对认证机构的认证决定有异议的，可以向作出认证决定的认证机构提出投诉、申诉，对认证机构处理结果仍有异议的，可以向国家认证认可监督管理委员会申诉。

The applicant and the certificate holder can file a complaint or appeal to the certification body if they have objections to the certification decision. If they still have objections to the processing results, they can appeal to CNCA.

注：再认证过程一旦产生超期立即转为失效。

For recertification activities, status of “ineffective” will be marked when any schedule extending happened.

5.5 所有认证决定过程依《GEC-MR-14 认证决定小组工作规则实施》

All certification decision processes are implemented in accordance with ***GEC-MR-14 Certification Decision Team Working Regulations.***

5.6 所有认证信息上报过程依《GEC-MR-16 认证信息报送管理规定实施》

The reporting process of all certification information shall be implemented in accordance with the ***GEC-MR-16 Certification Information Submission Management Regulations.***

5.7 本程序涉及认证证书的颁发、恢复、停用和作废、收回及认证标志的使用和停用等要求，按《GEC-PD-04 认证认可标识（牌）使用及认证证书管理规定》办理。

This procedure involves the issuance, recovery, deactivation and invalidation, recall, and the use and deactivation of certification marks and other requirements, which shall be handled in accordance with ***GEC-PD-04 Certification/Accreditation Mark (Brand) Use and Certification Certificate Management Requirements.***

5.8 特殊审核（临时审核）：

Special Audit (Temporary audit) :

5.8.1 当出现下列情况时，公司需对获证组织进行非例行的特殊审核或是提前较短时间通知的临时审核，关系重大时公司也可启动再认证要求实施全面的审核（非正常的监督或再认证周期）：

When the following circumstances occur, the company needs to conduct a non-routine special audit or a temporary audit with a short notice in advance of the certified organization, and the company may also start a comprehensive audit (abnormal surveillance or recertification cycle) when the relationship is significant:

(1) 获证组织在国家/省级产品质量监督抽查时出现不合格或发生用户严重投诉的；出现污染物排放超标造成相关方投诉的；出现致命事故或安全生产行政主管部门采取了法律行动的；

The certified organization is unqualified or has serious complaints from users during the national/provincial product quality supervision and spot check; The discharge of pollutants exceeding the standard causes complaints from the relevant party. A fatal accident occurs or legal action is taken by the competent administrative department of production safety;

(2) 获证组织管理体系发生重大变更的；

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Major changes have taken place in the management system of the certified organization;

(3) 获证组织提出扩大或缩小认证范围的;

the certificated organization proposes to expand or narrow the scope of certification;

(4) 调查投诉、对获证组织变更做出回应的;

investigating complaints and responding to changes in certified organizations;

(5) 应获证组织提出需要恢复其暂停资格的;

The certification organization should propose the need to restore its suspension;

(6) 应国家认证认可主管部门的要求实施对获证组织的非例行检查的。

In accordance with the requirements of the national certification and accreditation authority, conducts non-routine inspection of the certified organization.

(7) 由于新获认可后组织需要带标证书，组织提出申请后，进行一次特殊审核，确认组织体系运行有效维持和能符合最新的认可管理要求，但原证书有效期维持不变。

Since the newly recognized organization needs to carry a standard certificate, after the organization makes an application, a special audit is conducted to confirm that the operation of the organization system is effectively maintained and can meet the latest accreditation management requirements, but the validity period of the original certificate remains unchanged.5.8.2 如下控制:

The following controls:

(1) 公司发出审核通知函，说明并使获证组织提前了解将进行的此类审核:

The company issues an audit notification letter explaining and informing the approved organization in advance of such audit;

(2) 获证组织可能会缺乏对审核组成员的任命而表示反对，为力求公正性，公司在进行审核组任命时应尽可能不安排原审核组成员。

The certified organization may lack the appointment of audit team members and express opposition, in order to strive for impartiality, the company in the audit team appointment should not arrange the original audit team members as far as possible.

(3) 审核部安排的特殊审核（临时审核）为现场审核，现场不得少于 0.5 天，审核的范围依据 5.8.1 的 6 项内容范围有针对性的开展调查、问询、核查、取证等加以实施。并做好必要的审核检查记录。
The special audit (temporary audit) arranged by the audit department is the on-site audit, which shall not be less than 0.5 days. The scope of the audit shall be implemented according to the 6 content scopes of 5.8.1, such as targeted investigation, inquiry, verification and evidence collection. And make necessary audit and inspection records.

注 1: 5.8.1 之（2）、（3）、（5）、（7）情况的特殊审核现场不应少于 1 人天。

Note1: In case of （2）、（3）、（5）、（7） of 5.8.1, the audit time shall not be less than 1 Man-day.

注 2: 特殊审核时不强制对所有条款实施，但必须针对特殊审核的原因执行，同时在对记录体现。

Note2: Special audits are not mandatory for all clauses, but must be implemented for the reason for the special audit and reflected in the corresponding records.

6.参考文件 Reference Document

6.1 《GEC-MR-04 认证认可标识（牌）使用及认证证书管理规定》

GEC-MR-04 Certification/Accreditation Mark (Brand) Use and Certification Certificate Management Requirements

6.2 《GEC-MP-04 管理体系认证申请及评审控制程序》

	国恒认证检测（广东）有限公司	编号 Doc.No.: GEC-MP-07
	G-Eternal Certification & Inspection(GuangDong) Co.,Ltd	更新日期: Update Date: 2023/10/24
	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 Granting, Maintaining, Renewing, Suspending, Withdrawing, Changing (Including Special Temporary Audit), Restoring Certification Management Procedure	版本/次: Version/Edition: A/4

GEC-MP-04 Management System Certification Application and Review Management Procedure

6.3 《GEC-MP-05 初次认证审核程序》

GEC-MP-05 Initial Certification Audit Management Procedure

6.4 《GEC-MR-18 管理体系认证人员专业能力评定准则》

GEC-MR-18 Regulations for the evaluation of professional competence of management system certification personnel

6.5 《GEC-MR-22 认证案卷评定要求》

GEC-MR-22 Audit Files Evaluation Regulations

6.6 《GEC-MR-14 认证决定小组工作规则》

GEC-MR-14 Certification Decision Team Working Regulations

6.7 《GEC-MR-16 认证信息报送管理规定》

GEC-MR-16 Certification Information Submission Management Regulations

7.相关记录 Using Record

7.1 《GEC-07-01 管理体系认证证书注册恭贺函》

GEC-07-01 Congratulatory letter of management system certification registration

7.2 《GEC-07-02 证书查询说明》

GEC-07-02 Certificate Inquiry Instructions

7.3 《GEC-07-03 认证资格撤销暂停处理审批表》

GEC-07-03 Certification Qualification Withdrawal Suspension Processing Approval Form

7.4 《GEC-07-04 认证资格暂停、注销和撤销处理通知单》

GEC-07-04 Notice of suspension, cancellation and withdrawal

7.5 《GEC -07-05 恢复认证资格通知书》

GEC-07-05 Certificate of Maintenance/Restoration of Certification Qualification

7.6 《GEC-05-22 管理体系审核案卷评审评价表》

GEC-05-22 Audit Files Evaluation Record