

上海英格尔认证有限公司
Shanghai Ingeer Certification Assessment Co., Ltd.

审定与核查陈述签发后发现的事实管理程序
Management Procedure for facts discovered after the issue of the
validation/verification statement

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1 目的 Objective

本文件旨在保证英格尔（ICAS）审定与核查陈述签发后的事实管理工作符合管理要求以及签发的审定报告/核查报告及陈述能正确使用。

It aims to ensure that ICAS's granting, refusing, maintaining, changing, suspending, restoring and withdrawing of certification registration qualification conforms to specified requirements, and the issued certificate can be used appropriately.

2. 适用范围 Scope of application

对 ICAS 所出具的审定报告/核查报告及发布陈述的变更及撤销的管理。

Management of changes and withdrawals of validation/verification reports and statements issued by ICAS.

3 职责和权限 Responsibilities and authorities

3.1 注册部负责审定报告/核查报告及陈述签发的变更及撤销决定的协调管理；

The Registration Department is responsible for the coordinated management of changes and revocation of the validation report/verification report and statement issuance;

3.2 总经理负责对审定报告/核查报告及陈述签发的变更及撤销的确认；

General Manager is responsible for confirmation of changes and revocations of validation reports/verification reports and statement issuance

3.3 市场部负责审定报告/核查报告及陈述签发的变更及撤销通知书的发放。

The Marketing Department is responsible for the issuance of notification of changes and revocation of the validation report/verification report and statement issuance.

4. 程序 Procedure

4.1 审定报告/核查报告及陈述签发 Issuance of validation report/verification report and statement

4.1.1 申请审定/核查的组织在 ICAS 对其实施了必须的评审后，符合以下条件，ICAS 将作出批准报告及陈述签发的决定。

The organization applying for validation/verification will make the decision to approve the report and

the issuance of the statement after ICAS has implemented the required review and the following conditions are met.

- a) 组织的盘查报告与现场审查的情况相符，且核算计算过程和温室气体排放源的识别均合理及全面；

The organization's inventory report is consistent with the on-site review, and the accounting calculation process and the identification of GHG emission sources are reasonable and comprehensive

- b) 通过现场审定后，认为组织的预期目标能够实现；

After the on-site validation, it is considered that the validated objectives of the organization can be achieved

- c) 通过实施现场核查后，认为组织的核查宣称与实际的情况相符；

Through the implementation of on-site verification, the organization's verification claims are considered to be consistent with the actual situation

- d) 组织的环境信息声明与现场审查的情况一致；

The organization's environmental information statement is consistent with the on-site review

- e) 对所有反映以下问题的不符合，独立复核人员已评审、接受并证实了纠正和纠正措施的有效性：

Independent reviewer has reviewed, accepted, and confirmed the effectiveness of corrective and corrective actions for all non conformances that reflect the following issues:

- 1) 温室气体排放源识别不正确；或

Incorrect identification of greenhouse gas emission sources; or

- 2) 核算的计算过程不清晰，且计算结果有误；或

The calculation process of the accounting is unclear and the calculation results are incorrect;

or

- 3) 使人对客户审定内容或环境信息声明实现预期结果的能力产生重大怀疑的情况；

Circumstances that raise significant doubts about the ability of the client's validated content or environmental information statement to achieve the desired results

- f) 对于任何其他不符合，独立复核人员已评审并接受了客户计划采取的纠正和纠正措施。

For any other non-conformity, independent reviewer has reviewed and accepted the corrective and corrective actions planned by the client

- g) 支付所有的费用；

Pay all fees

4.1.2 收到独立复核人员上报的审定/核查材料后，注册部经理根据管理委员会批准的決定人員清單协调人員按《审定/核查 決定書》（VFP0117A）要求对上报审定档案/核查档案以及审定/核查以外得到的信息，如投诉、市场反馈等进行評定，参与評定的人员必須为非审定/核查现场实施人員，決定人員作出決定后交注册部，注册部对決定过程进行再次确认无误后，由注册部报总经理。

Upon receipt of validation/verification materials submitted by independent reviewer, on the basis of list of decision-makers approved by Management Committee, the registration manager shall coordinate staff according to the requirement of "Validation/Verification Decision Letter" (VFP0117A) who assess validation/verification files submitted and the information gained from the sources other than validation/verification, such as complaints, market feedback and so on. The personnel who participates in assessment must not be validators/verifiers. Decision made by decision personnel shall be submitted to Registration Department and Registration Department re-confirms that the process of the decision is without error. Then the decision is delivered to General Manager by the Registration Department.

4.1.3 总经理确认后，由注册部制作报告或陈述中英文各一份，报告或陈述发放前需经总经理批准。

After confirmed by General Manager, the Registration Department shall make an English copy and Chinese copy of the Report or Statement. Before the Report or Statement is issued, the approval of the General Manager shall be obtained.

4.1.4 所有发放的报告或陈述由注册部留一份复印件，保存在审定/核查档案中。

Registration Department should keep a copy of all Reports or Statements issued for storing it in validation/verification files.

4.2 拒绝签发审定报告/核查报告及陈述 Refusal to issue validation reports/verification reports and statements

4.2.1 当決定条件或決定結果不符合本文 4.1.1 的要求时，ICAS 将拒绝签发审定报告/核查报告及陈述。

ICAS would refuse to issue validation reports/verification reports and statements if decision condition or results do not comply with clause 4.1.1 of this document.

4.2.2 当合同評审人員拒绝受理审定/核查活动的申請时，由合同評审人員将拒絕的理由及相关信息传递给市场业务人員，由业务人員通知申請方。

When a contract reviewer refuses to accept an application for validation/verification activities, the contract reviewer will pass on the reason for the refusal and related information to the market operations staff, who will notify the applicant.

4.2.3 当決定人員拒绝签发审定报告/核查报告及陈述时，由注册部負責決定的人員将拒絕簽发的理由及相关信息传递给市场业务人員，由业务人員通知申請方。

When the decision maker refuses to issue the validation report/verification report and statement, the person responsible for the decision in the registration department will pass the reason for refusal and related information to the market business personnel, who will notify the applicant.

4.3 审定报告/核查报告及陈述签发的保持 Maintenance of the validation report/verification report and statement issuance

审定报告/核查报告及陈述签发的保持条件

Maintain conditions for issuance of validation report/verification report and statement

- 未发现可能对审定与核查陈述发生实质性影响的新事实或信息；
No new facts or information were found that could materially affect the validation and verification statements
- 在新的事实或信息下，原始陈述的可信度未受到损害；
The credibility of the original statement is not impaired under new facts or information
- 对现场审定/核查出现的不合格项能够按要求整改且纠正措施实施有效；
On site validation/verification of non-conformities can be corrected as required and the implementation of corrective measures effective
- 没有重大投诉；
No major complaints
- 没有严重违法违纪行为；
No serious violations of law and discipline
- 按时支付审定/核查费用。
Pay the fee on time

4.4 审定报告/核查报告及陈述签发的变更 Changes to the validation report/verification report and statement issuance

4.4.1 ICAS 以公开文件的方式要求获证组织有义务向 ICAS 通报变更内容，以及其他可能影响其审定/核查结果的变更情况。

ICAS requires, in the form of a public document, that a certified organization is obliged to notify ICAS of changes and other changes that may affect its validation /verification results.

4.4.2 当获证组织要求变更审定报告/核查报告及陈述签发时，双碳事业部应对其重新提交的报告或陈述的申请进行评审，并确定任何必要的审定/核查活动，技术复核人员和决定部做出是否授予的决定。

When an accredited organization requests a change in the issuance of a validation report/verification report and statement, the Dual Carbon Department shall review its application for resubmission of the report or statement and determine any necessary validation/verification activities, the Independent reviewers and Decision Department shall make a decision on whether to grant it.

这种变更包括（但不限于）与下列方面有关的变更：

Such changes include (but are not limited to) changes related to

- 1) 法律地位、经营状况、组织状态或所有权；
Legal status, business status, organizational status or ownership
- 2) 生产地址；
Production address
- 3) 审定/核查核算边界的变化；
Validation/verification of changes in accounting boundaries
- 4) 生产工艺或流程的重大变更。

Major changes in production processes or procedures

4.4.3 此时，获证组织需提交更改的数据信息和工商证明文件（必要时），适用时还需提交相应许可证书。

In this case, the certified organizations are required to submit changed data information and business certification documents (if necessary) and, where applicable, the corresponding license certificate.

4.4.4 审定/核查方案管理人员协同方案策划人员，按各审定/核查管理程序要求，对变更部分的申请进行评审。

The validation/verification program manager, in conjunction with the program planner, evaluates applications for change components as required by the respective validation/verification management procedures.

4.4.5 必要时，审核部将派遣审定员/核查员按审定/核查管理程序要求对其现场执行审定/核查活动，并将审定/核查结果（报告）及变更理由整理后，提交技术复核人员。

If necessary, the Audit Department will send validators/verifiers to perform validation/verification activities on sites according to the requirements of the validation/verification management procedures, and compile the validation/verification results (reports) and the reasons for the changes and submit them to the technical reviewers.

4.4.6 注册部根据技术复核人员提供的信息（《技术复核意见书》（VFP0119A）），对相关的变更内容进行评定，作出决定后交由批准人员签发新的报告/陈述，并及时修改相关客户相关信息，并完成上报信息流程。

Based on the information provided by the technical reviewer ("Technical Review Opinion"(VFP0119A)), the Registration Department evaluates the content of the relevant changes, makes a decision, and then hands it over to the approving officer to issue a new report/statement, and modifies the relevant customer information in a timely manner, and completes the process of reporting the information.

4.5 审定报告/核查报告及陈述签发的撤销 Withdrawal/Revocation of the validation report/verification report and statement issuance

4.5.1 客户的活动/服务出现下列情况，将导致审定报告/核查报告及陈述签发的撤销：

The following situations happened to whole or part of the activities/services of the client will result in the revocation/withdrawal of the validation report/verification report and statement issuance:

a) 客户主动提出申请撤销审定报告/核查报告及陈述；

client initiated application for withdrawal of validation report/verification report and statement

b) 客户被终止（注销）或撤销法律地位证明文件；

Documents evidencing the termination (cancellation) or revocation of the legal status of the client

c) 拒绝配合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；

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

d) 出现重大的产品和服务等质量、环境安全事故，经执法监管部门确认是获证组织违规造成的；Major product and service quality、environmental and safety accidents are confirmed by law enforcement and supervision authorities as being caused by violations of the certified organization

e) 获证组织虚报、瞒报获证所需信息的;

The certified organization falsely reports or conceals the information required by the certified organization

f) 不按相关规定正确引用和宣传获得的审定/核查陈述, 造成严重影响或后果, 或者机构已要求其纠正但超过 2 个月仍未纠正的;

Failing to correctly quote and publicize the validated/verified statements obtained in accordance with relevant regulations, causing serious influence or consequences, or failing to correct them after more than 2 months after being required by the institution

g) 严重违法违反法律法规;

Serious violation of laws and regulations

4.5.2 发生上述情况之一时, 由决定部向客户发出《审定与核查报告及陈述撤销通知》(VMP1401A), 通知中应明确要求客户将审定与核查报告及陈述交回并不可在任何商业活动中使用其复印件进行宣传活动, 并通知客户如未按通知规定的有关要求执行, 将采取必要的法律手段。同时市场部应负责将撤销状态予以公告, 并将审定与核查报告及陈述被撤销的客户从英格尔审定/核查客户名录中删除。

If one of the situations mentioned above happens, Decision Department shall send "Notification of withdrawal of validation and verification reports and statements" (VMP1401A) out to the client. In the notice, it shall be explicitly pointed out that the client should return the Report and Statement or its copy cannot be used in any commercial activities or propaganda activities. Decision Department shall also inform the client that ICAS will take necessary legal action if the client fails to implement the relevant requirements according to the stipulations of the notice. In the meantime, Marketing Department shall be in charge of making a public announcement of the withdrawal situation and delete the client whose report and statement has been withdrawn from the client list of ICAS.

4.5.3 撤销审定与核查报告及陈述后, ICAS 将通知企业及时交回撤销的报告及陈述, 并及时在相关媒体和网站上公布或声明撤销决定。

Once the validation/verification report and statement are withdrawn, ICAS would inform enterprise to take back the withdrawn report and statement and publish or declare the withdrawal on relevant media and website without undue delay.

4.5.4 如果终止 (应客户要求) 审定/核查活动, ICAS 将根据与客户方达成的协议, 形成《审定与核查报告及陈述注销通知》(VMP1402A), 发放给客户方, 并同时声明所有相关的审定与核查材料已不再保持。ICAS 还会对已授予客户方的正式审定与核查报告及证书文件、公布的信息、标志使用的授权等做出所有必要的更改, 以确保没有任何信息显示该客户仍持续获得我机构的审定及核查报告及签发的陈述。

If the validation/verification activities is terminated (at the client's request), ICAS will issue a "Notification of cancellation of validation and verification reports and representations" (VMP1402A) to the client in accordance with the agreement reached with the client, stating that all relevant validation and verification materials are no longer maintained. ICAS will also make all necessary changes to the official validation and verification report and certificate documents, published information, and authorization to use the logo to ensure that there is no information indicating that the

client continues to receive validation and verification reports and issued statements from our organization.

4.5.5 凡被撤销及终止（注销）审定与核查报告及陈述的组织，在作出相应决定后的两个工作日内报告相关监管机构。

Where the withdrawal and termination (cancellation) of the validation and verification reports and statements of the organization, reported to the relevant regulatory bodies within two working days after the corresponding decision.

4.6 审定报告/核查报告及陈述变更信息的保存 Retention of validation report/verification report and statement change information

有关审定/核查活动的具体信息，包括申请、审定/核查的现场实施和授予、拒绝、保持、变更及撤销的过程的决定结果，由 ICAS 客服人员负责与客户方进行沟通和信息传递。信息交换的方式可以是发送邮件、微信发送信息和文件、电话通知等；客服人员应确保客户方收到相应信息。这些信息应作为审定/核查档案的一部分予以留档和保存。

The ICAS customer service personnel shall be responsible for the communication and information transmission with the client for the specific information about the validation/verification activities, including the decision results of the process of application, on-site implementation of validation/verification, and grant, rejection, maintain, change, suspension, restoration and revocation. The way of information exchange can be e-mail, Wechat sending information and documents, telephone notification, etc; The customer service personnel shall ensure that the customer receives the corresponding information. This information shall be filed and maintained as part of the certification files.

5 记录 Records

- 《审定/核查 决定书》（VFP0117A）
"Validation/Verification Decision Letter" (VFP0117A)
- 《技术复核意见书》（VFP0119A）
"Technical Review Opinion"(VFP0119A)
- 《审定报告/核查报告及证书的撤销通知》
"Notification of withdrawal of validation and verification reports and statements"
- 《审定报告/核查报告及证书的注销通知》
"Notification of cancellation of validation and verification reports and representations"

6 引用文件 Reference documents

- ISO 17029:2019 Conformity Assessment - General principles and requirements for validation and verification bodies
- ISO 14065:2020 General principles and requirements for bodies validating and verifying environmental information
- ISO 14066: 2023 Environmental information-Competence requirements for teams validating and verifying environmental information