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

质 量 管 理 手 册
Quality Management Manual

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修 订 说 明 Revision note	修订页数 Revision page	修订日期 Revision date	批 准 Approval
1）根据信息安全管理体系认证需要，按 CNAS-CC170 修订 ICAS 认证管 理基本要求 According to the certification requirements of the ISMS,revise the basic requirements for ICAS certification management according to CNAS-CC170	全文 Full text	2015.12.17	杨宏奇 Yang, Hongqi
1）根据 2016 版质量管理体系认证规则修改 2）根据 ISO17021-1:2015 之 5.2.2，修改"公正性声明"为"公正性方针" 1) Revise in accordance with 2016 version of rules for quality management system certification 2) Change 'Declaration of impartiality' to 'impartiality policy' according to 5.2.2 of ISO 17021-1:2015	全文 Full text	2016.9.20	杨宏奇 Yang, Hongqi
1）修改食品安全管理体系多场所抽样的规定 1) Revise rules for multi-site sampling for food safety management system	4.1.6.2	2016.11.30	杨宏奇 Yang, Hongqi
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0. 前 言 Foreword

质 量 方 针 Quality Policy

以敬业、专业、高质、高效、亲和的认证队伍和公正独立的认证体制
使英格尔认证成为多国认可的国际性认证机构。

Our dedicated, professional, high-quality, efficient and affable certification team and impartial and independent certification system make ICAS an international certification body recognized by countries around the world

质 量 目 标 Quality Objective

1. 每年至少进行一次专业培训或举办一次集中的认证校准活动，确保认证人员对要求的理解一致
2. 保持创新技术能力，每年至少扩展一个认证业务领域
3. 对主要客户进行审核过程调查统计，客户服务满意率达 **96%** 以上；
4. 优质高效地完成认证评审、认证注册

1. Professional training or certification calibration at least once a year
2.Maintain technological innovative ability and keep the number of projects expanded/renewed every year ≥1
3. Conduct investigation and statistical analysis of audit process of key client and strive for 96% of client satisfactory rate
4. Complete certification review and certification registration with high quality and efficiency

ICAS 公正性方针

1、上海英格尔认证有限公司（以下简称 ICAS）是具有独立法律地位的第三方认证/审定与核查机构，我们已充分理解公正性在实施认证/审定与核查活动中的重要性,ICAS 的认证/审定与核查活动将始终秉持公正、非歧视的原则，公正地进行；ICAS 对所有被认证的客户一视同仁，不允许商业、财务或其他压力损害公正性。

2、ICAS 将遵守国家认证认可相关法律法规，CNCA 相关要求,CNAS、UKAS、ANAB 认可规范等认证认可方面的法律法规要求，规章要求，确保以独立、公正、透明、高效的方式开展工作。

3、ICAS 是一个提供认证/审定与核查活动的服务实体，其营业范围仅限于对客户认证/审定与核查的活动及与认证有关的相关活动，ICAS 承诺不将审核/审定与核查分包给管理体系咨询机构。ICAS 活动的营销或报价不与管理体系/审定与核查咨询机构的活动有联系。当向客户提供认可的认证服务时，ICAS 的服务仅限于国家认监委、认可委及国外认可机构认可的业务范围。

4、ICAS 在其最高层次建立维护公正性的组织——顾问委员会。委员会由与认证活动有关的代表组成，包括政府有关部门代表、制造商或供方代表、客户代表、消费者、本机构代表等。各方利益均衡，任何一方不处于支配地位。委员会负责对认证/审定与核查机构运作和认证活动有关的方针、原则及内容的公正性进行审议，对可能影响机构公正性的产品、体系认证、审定与核查的变化进行公正性评价，并提出意见或建议。为确保公正性，ICAS 最高管理者不担任委员会的主任委员。

5、ICAS 在战略与政策制订、评价(审核、审定与核查)和认证决定三个层次上保持公正性和独立性。

6、ICAS 及其认证受理、评定、审核/审定与核查、检查、认证决定人员等所有参与认证过程的人员都没有任何可能影响认证过程。ICAS 不参加将会危及认证的公正性、科学性和客观性的各种活动。不提供可能有损于认证过程和决定的公正性、客观性和保密性的任何服务。ICAS 承诺，我们不会：

是获证产品的设计者、制造者、安装者、分销或维护者；

是获证过程的设计者、实施者、操作者或维护者；

是获证服务的设计者、实施者、提供者或维护者；

主动或被动地为其客户提供咨询；

当认证方案是对客户的管理体系进行评价时，为其客户提供管理体系的咨询或内部审核。

7、ICAS 要求所有的工作人员对其所从事工作的公正性和保密性作出承诺。若发现违背承诺时，ICAS 有责任采取适当的纠正措施。

8、ICAS 承诺在机构内部实施信息安全管理制度，通过完善自身信息安全意识和管理水平，提高信息安全管理绩效和客户信任度。

9、ICAS 建立专门有效的管理机制，以保证独立、公正地开展各地域的认证/审定与核查业务。

10、ICAS 具有完善的受理和处理来自申请人或其他方面有关认证/审定与核查业务或其他相关事项的申诉、投诉和争议的方针和程序，接受和配合社会各相关方的管理监督。

英格尔认证 总经理：王珍
2025 年 3 月 3 日

Impartiality Policy of ICAS

1. Shanghai Ingeer Certification Assessment Co., Ltd (ICAS) is a third-party certification/validation and verification body with independent legal status. We fully understand that impartiality plays an important role in the certification/V&V activities. ICAS would always stick to the principle of impartiality and non-discrimination in the certification activities; and treat all of our certification clients equally. ICAS would not allow commercial, financial or other pressures to compromise impartiality.

2. ICAS would comply with the relevant national statutory and regulatory requirements of certification and accreditation, relevant requirements by CNCA, CNAS, UKAS and ANAB accreditation standard and other statutory and regulatory requirements of certification and accreditation as well as regulatory requirements in order to ensure the work is carried out in an independent, impartial, transparent and efficient way.

3. ICAS is a service entity which offers single certification/V&V activity, its service scope is limited to certification/V&V activity for the client and related certification/V&V activity. ICAS promised that it would not outsource audit to management system consultancy organization. The marketing and quote of ICAS activities have no relations with management system consultancy bodies. When providing our approved certification service to the client, the service provided by ICAS is only limited to the business scope accredited by CNCA, CNAS and foreign accreditation body.

4. ICAS set up the Advisory Committee at its top for its safeguard impartiality. The committee is composed of representatives who are related to certification/V&V activity including representatives of relating government departments, representatives of manufacturer or external provider, client representative, consumer, representative of our body etc. The consultancy with appropriate interested parties shall be balanced with no single interest predominating. The committee would give impartiality comments, suggestion or advice to the product, system certification, V&V which may affect impartiality of the body. To ensure the impartiality, ICAS top manager would not undertake the chairman of the committee.

5. ICAS would maintain impartiality and independence on the three levels of strategy and policy making, evaluation (audit, V&V) and certification decision.

6. ICAS and its certification processing, evaluation, audit, inspection, V&V, certification decision personnel and all personnel who participate in the certification process have no opportunity to affect the certification process. ICAS would neither participate in any kinds of activities which may compromise the impartiality, scientificity and impartiality, nor provide any services which may compromise the impartiality, objectivity and confidentiality of the certification process and decision. ICAS promises that we would not：

Be the designer, manufacturer, installer, distributor or maintainer of the product with certification;

Be the designer, implementer, operator or maintainer of the certification process;

Be designer, implementer, provider or maintainer of the certification service;

Offer consultancy services actively or passively to other client;

Provide management system consultancy or internal audit to its client when evaluating management system of the client in the certification scheme.

7. ICAS requires all employees to make commitment on the impartiality and confidentiality in the area they work in. Once the breach of the commitment is found, ICAS takes responsibility to adopt proper corrective action.

8. ICAS promises to implement an information security regulatory regime within the organization, enhance its own information security awareness and management level, and improve information security management performance and customer trust.

9. ICAS has established a dedicated and effective management mechanism to ensure that certification/validation and verification operations are carried out independently and impartially in all regions.

10. ICAS has complete policy and procedure to acceptance and dealing with appeals, complaints and disputes from applicant or other relevant certification/V&V business or other related matter, ICAS accepts and copes with management surveillance from all interested party in the society.

General Manager of ICAS: Jane, Wang

3rd, Mar, 2025

1. 简介及范围 Introduction and Scope

1.1 简介 Introduction

上海英格尔认证有限公司（以下简称ICAS），2000 年成立于上海；是由国家认监委批准的、在上海市工商局注册的认证机构。拥有办公面积场地约 2000 余平方米，拥有各类专业技术人员 300 余人。认证服务覆盖质量(含ISO9001、GB/T50430 及ISO13485)、环境、职业健康安全、能源、食品安全、HACCP、信息安全、信息技术服务、资产管理体系、合规管理体系、反贿赂管理体系等多个管理体系认证领域，以及一般工业品产品认证、一般食品农产品认证、有机产品/GAP认证、服务认证领域。

Shanghai Ingeer Certification Assessment Co., Ltd (hereinafter referred to as ICAS) was established in Shanghai in 2000, it is a certification body approved by CNCA and registered at Shanghai Administration for Industry & Commerce. Its office space is approximately more than 2000 square meters and it has more than 300 technicians from all professions. Certification services covers quality (including ISO9001、GB/T50430 and ISO13485), environmental, occupational health and safety, energy, food safety, HACCP, information security, information technology service、AMS、CMS、ABMS and several management system certification areas as well as areas of general industrial product certification, general food and agricultural product certifications, Organic product certification, GAP certification and service certification.

1.2 范围 Scope

本手册规定了ICAS为获证客户提供第三方质量(含ISO9001、GB/T50430及ISO13485)、环境、职业健康安全、能源、食品安全、HACCP、信息安全、信息技术服务、资产、合规、反贿赂管理体系等认证活动的基本要求，以及为客户提供第三方自愿性产品认证、有机产品/GAP认证、服务认证活动的基本要求，适用于ICAS所有与上述活动相关的人员。

This manual specifies basic requirements for ICAS to provide third-party quality (including ISO9001、GB/T50430 and ISO13485), environmental, occupational health and safety, energy, food safety, HACCP, information security, information technology service management system，AMS,CMS and ABMS and other certification activities for its certified client. It also specifies basic requirements for the third-party voluntary product certification, Organic product certification, GAP certification and service certification activity that offered to the client, which applies to all ICAS personnel who is involved in the above activity.

2. 机构管理 Organization Management

2.1 通用要求 General Requirements

2.1.1 ICAS是一家具有独立法律地位的认证机构，能够对所有认证活动承担法律责任。

ICAS is a certification body with independent legal status which could undertake legal responsibilities of all certification activity.

2.1.2 ICAS在合同评审时明确认证活动实施准则与客户的"商定要求"以及隐含的要求，并仅在拟认证的范围内规定其认证要求，对客户进行评审和作出认证决定。在为每一位客户提供认证服务前，均与其签订认证服务协议。该服务协议充分考虑ICAS及客户方的责任。通过认证协议约定双方的责任和义务，应确保授予认证并颁发证书的认证机构与认证范围覆盖的所有场所之间有在法律上具有强制实施力的协议。

ICAS应确保其认证服务协议要求客户至少遵守：

a) 始终满足认证要求，包括当收到ICAS的通知时做出适当变更；

b) 如果认证适用于持续生产，则获证产品应持续满足产品要求；

c) 客户为下列事项做出所有必要的安排 ：
1) 实施评价和监督（若需要），包括审查文件和记录，访问相关设备、场所、区域、人员及客户的分包方；
2) 投诉的调查；
3) 适用时，观察员的参与。

d) 客户有关认证的声明与认证范围一致；

e) 客户不得以损害ICAS声誉的方式使用产品认证的结果，不得做出使ICAS认为可能误导或未经授权的有关产品认证的声明；

f) 当认证暂停、撤销或终止时，客户停止使用包含产品认证内容的所有广告，采取认证方案要求的措施（如交回认证文件）以及其他需要的措施。在认证范围被缩小时，修改所有的广告材料。

g) 如果客户将认证文件的副本提供给其他人，文件应被完整地复制或者按照认证方案的规定复制；

h) 在文件、宣传册或广告等传播媒介中涉及到产品认证内容时，应遵守ICAS的要求或认证方案的规定；

i) 客户遵守与符合性标志的使用（可能在认证方案中规定的)和产品相关信息的任何要求；

j) 客户保存已知的与认证要求符合性有关的所有投诉记录，并在ICAS要求时提供，以及
（1）对这些投诉以及在产品中发现的影响认证要求符合性的任何缺陷，采取适当的措施；
（2）将所采取的措施形成文件。

k) 当发生了可能影响满足认证要求的能力的变更，客户及时通知ICAS：这些变更可能包括：
- 法律、商业、组织的状况或所有权的变更；
- 组织和管理层的变更（如：主要的管理、决策或技术人员变更）；
- 对产品或生产工艺的改进；

- 联系地址和生产场地；
- 质量管理体系的重要变更。

为了使对客户实施的认证能力得到信任，ICAS根据CNAS-CC01_2015(ISO/IEC 17021-1：2015) 10.2方式A，以及CNAS-CC02：2013(ISO/IEC 17065：2012) 8.1.2方式A，建立并有效运行的认证质量管理体系，并向CNAS及国外认可机构提出认可申请，并最终获得认可。ICAS的认证证书仅从ICAS总部颁发，无论该客户是否有多个场所及客户所在的地理位置在何处。ICAS不以客户的规模、某一协会或团体的成员、已颁发证书的数量作为实施认证的限制条件。

2.1.2 ICAS evaluates and decides on accreditation for its clients by specifying the guidelines for the implementation of the accreditation activity and the client's "agreed requirements" as well as the implied requirements during the contract review, and by specifying its accreditation requirements only within the scope of the proposed accreditation. Before providing certification services to each client, a certification service agreement is signed. The service agreement gives full consideration to the responsibilities of both ICAS and the client. The responsibilities and obligations of both parties are agreed upon through the certification agreement, which shall ensure that there is a legally enforceable agreement between the certification body that grants accreditation and issues certificates and all premises covered by the scope of accreditation.

ICAS shall ensure that its certification service agreement requires client at least obeys:

a) Always comply with certification requirements which includes proper changes when receiving notice of ICAS

b) If certification applies to continual production, then certified products shall continue to meet products requirements;

c) client shall make necessary arrangement for the following items：

1）To implement evaluation and supervision(if necessary) including reviewing documents and records, asking for related equipment, sites, areas, personnel and client's sub-contractor;

2）Survey of complaints;

3）Observer shall participate when applicable.

d) client's declaration about certification conforms to the certification scope;

e) client shall neither make the use of certification result in a way which may compromise reputation of ICAS nor make statement of certification which ICAS considers to be misleading or of product certification without authorization;

f) When the certification is suspended, withdrawn or terminated, client shall stop using any advertisements containing product certification and shall adopt actions required by certification scheme (such as return the certification document) as well as other necessary actions. Modify all advertising material when the scope of certification is narrowed.

g) If client provides the copies of certification document to other people, the document shall be copied completely or in a way required by the certification scheme;

h) When involving content of product certification in the document, promotion brochure or advertisement or other communication media, it shall be complied with requirements for ICAS or regulations of certification scheme;

i) client complies with the use guide of conformity mark (may specified in the certification scheme) and any requirements related with product information;

j) client keep known and all complaint record related to the conformity of certification requirements, and provide which as requested by ICAS, and

1) Proper actions shall be taken against these complaints as well as any defects found in the product which affect conformity of certification requirements;

2) Form the adopted actions into document.

k) If there are changes which may affect ability of meeting certification requirements, client shall notify ICAS immediately: theses changes may include:

-changes of legislation, business, organizational status or ownership;

-changes of organization and management (e.g: changes of major management, decision making or technical personnel);

-improvement of product or production technology;

-contact details and manufacture site;

-significant changes of QMS.

For client to trust the competence in certification carried out, ICAS follows CNAS-CC01_2015(ISO/IEC 17021-1：2015) 10.2 method A and CNAS-CC02：2013(ISO/IEC 17065：2012) 8.1.2 method A, establishes and effectively operates certification quality management system, apply for accreditation to CNAS and foreign accreditation body and obtain accreditation eventually. ICAS certificate can only be issued from ICAS head office regardless how many sites the client has and where the client is located. ICAS would not take the following as the restricted condition of implementing certification: size of the client, member of some association or group and number of the certificates that has been issued.

2.1.3 ICAS对与认证有关的决定（包括授予、拒绝、保持、变更、暂停或恢复认证、撤销认证或更新认证）负责，并应保持做出上述决定的权力。

ICAS is responsible for certification related decisions (including granting, refusing, maintaining, changing, suspending or restoring certification, withdrawing certification or renewing certification), and it keeps its rights to make the above decisions.

2.1.4 ICAS总经理代表认证机构，对认证活动的公正性做出承诺(见本手册中"公正性方针")。

有关ICAS识别和分析认证活动所引发的利益冲突的可能性、包括认证机构各种关系引起的冲突的可能性、或对认证活动的公正性可能造成威胁的来源的分析见附件《ICAS认证风险管理及评价报告》（AM0229）。该分析应每年进行一次评审，并将分析结果报顾问委员会（维护

公正性委员会），每年至少进行一次审议。

当某种关系对ICAS的公正性构成不可接受的威胁时（如认证机构的全资子公司向其申请认证），ICAS不会提供认证。ICAS不将审核分包给管理体系咨询机构。

The managing director of ICAS makes commitment on the impartiality of the certification on behalf of certification body (see 'Impartiality Policy' of this manual).

The analysis of the following please refer to appendix "ICAS Certification Risk Management and Evaluation Report" (AM0229): possible interest conflict triggered by identification and analysis certification activities of ICAS, which includes the possibility of conflict triggered by all kinds of relations between certification bodies, or possible sources of threats to impartiality of certification activities. This analysis shall be reviewed once a year and the analysis result shall be reported to the advisory committee(impartiality committee) for review at least once a year.

When certain relationship poses an unacceptable threat toimpartiality of ICAS (such as that wholly-owned subsidiary of certification body requesting certification from its parent), ICAS would not provide the certification. ICAS does not outsource audit to management system consultancy organization.

2.1.5 ICAS已安排适当的资金作为认证风险基金以解决其运作或认证活动引发的责任。

ICAS向客户收取服务费用以维持其注册体系和自身的运作，并公开其认证服务的费用。

管理委员会向顾问委员会（维护公正性委员会）提供财务状况、收入来源信息，信息中应能够证明ICAS的认证公证性没有受到商业、财务和其他方面压力的损害。该信息应在每年一次的公正性审查中进行评审。

ICAS has arranged appropriate fund to be the risk funds for responsibility caused by its operation or activities.

ICAS charges service fees from client to maintain its registration system and its operation and publicize its certification service fees.

Management committee provides information of financial conditions and source of income for the advisory committee(impartiality committee), among which it shall prove that ICAS impartiality has not been compromised by commercial, financial and other stress. The information shall be reviewed during impartiality review carried out each year.

2.1.6 ICAS将以下信息作为可公开获取的信息通过电子媒介、公司官方网站、宣传资料等方式提供给公众：

1）与认证授予、拒绝、保持、变更、暂停或恢复认证、撤销认证或更新认证的审核过程和认证过程做出说明的规则、程序、认证证书；

2)机构获得财力支持方式的描述以及向申请人和客户收取费用的一般信息；

3）申请人与客户的权利和义务的描述信息，包括使用ICAS名称和认证标志以及认证结论引用方式的要求、约束或限制；

4）有关处理投诉和申诉程序的信息。

这些信息（包括广告）应准确且不使人产生误解。

ICAS有条件（如客户有请求时）地将所保持的认证信息，及其运作涉及的认证活动、管理体系类型和地域的信息提供给相关方；包括提供确认某一认证是否有效的方法。

ICAS would make the following information as publicized information which can be accessed through electronic media, official company website, promoting materials and other method to the public:

1）Regulations, procedure and certification certificate which explain the audit and certification process for granting, refusing, maintaining, changing, suspending or restoring certification, withdrawing certification or renewing certification;

2) Description of how the organization gets the financial support and general information about fee charged to the applicant and client;

3) Description information about the rights and obligations of applicants and clients, which includes the use of ICAS name and mark as well as requirements, restrictions or limit on reference of certification conclusion;

4) Information about dealing procedure of complaints and appeals.

These information (including advertisement) shall be made accurate and not misleading.

ICAS provides the kept certification information, information of certification activity involved in its operation, types and region of management system to interest party with conditions (as requested by client), which includes method of determining if certain certification is valid.

2.1.7 ICAS承诺，不得将申请组织是否获得认证与参与认证审核的审核员及其他人员的薪酬挂钩。

ICAS promises that it would not make the connection between whether applicant organization would get the certification and the salaries of the auditor and other personnel who participates in the certification audit.

2.1.8 ICAS应有具备足够能力对其各种类型与范围的审核方案以及其他认证工作进行管理的人员。应聘用或有途径获得足够数量的审核员（包括审核组长）和技术专家，以覆盖其所有活动并满足审核工作量的需要。（每个审核、检查专业领域的审核员、检查员不少于两人）。

ICAS shall have personnel who have sufficient competence to manage audit scheme of different kinds and scope as well as other certification work. It shall employ or have access to enough numbers of auditors (including audit team leader) and technical experts in order to cover all activities and meet the requirements for audit work load. (Auditor and inspector from audit and inspection professions shall be no less than 2 people).

2.1.9 ICAS通过制定《组织结构及职责权限说明》（AM0101）使所有有关人员清楚自己的职责和权限。

ICAS lets all relevant personnel understand their responsibilities and authorities by prepare 'Statement of Organization Structure and Responsibilities and Authorities' (AM0101).

2.1.10 ICAS从事危害分析与关键控制点（HACCP）体系认证时，应遵守认监委（CNCA）发布

的危害分析与关键控制点（HACCP）体系认证相关实施规则要求。

When ICAS is conducting HACCP system certification, it shall comply with relevant code of practice for HACCP system certification which is issued by CNCA.

2.2 组织结构和最高管理层 Organization Structure and Top Management

2.2.1 ICAS建立了便于开展认证业务和自身管理的组织结构，以确保ICAS能为认证提供信任，保持公正。ICAS组织结构和最高管理层及各职能部门的职责和权限，参见本手册附件《组织结构及职责权限说明》（AM0101）。

该组织结构的设计的宗旨在于明确管理层和其他认证人员及各委员会的任务、责任和权力，为客户提供最好的服务，并在战略和方针、认证决定、审核/检查三个层次上保证认证过程的独立、公正公开保密及完整：

战略和方针：以敬业、专业、高质、高效、亲和的认证队伍和公正独立的认证体制使 ICAS 成为多国认可的国际性认证机构。

认证决定：认证决定人员必须为非审核执行人员，且与申请认证的组织无利益关系；

审核/检查：实施审核/检查的人员与申请认证的组织无任何利益关系。

该组织结构图明确了各职能部门的职责，并保证ICAS的认证活动在总经理的领导下进行。总经理应根据认证工作的类型、范围确定相关人员所必需的教育、培训、技术知识和经历要求，并于每年的管理评审时评估资源的充分性，确保为保证认证质量工作配备充足的人员和资源。

ICAS的组织结构确保管理委员会具有以下权利和责任：

- 与ICAS运作有关的政策方针的制定；

- 政策和程序实施的监督；

- ICAS财务的监督；

- 在需要时，授权委员会或个人代表最高管理层开展规定的活动；

- 为认证活动提供充分的资源；

- 必要时，开展规定的活动。

ICAS的组织结构确保研发部负责认证服务活动、认证方案的开发和认证要求的制定；

审核部、注册部负责审核/检查/评价活动的实施，市场部、审核部负责对认证合同的评签订、履行进行监督，以及客户方或项目人员、认证员对投诉的回应；

注册部认证决定人员负责复核和认证决定。

人事部和技术资源部负责对人员能力是否满足要求进行确认。

管理者代表代表管理层管理机构的管理体系的建立、实施和运行

ICAS 建立的组织结构能确保认证决定必须由非实施审核/检查的人员做出。各管理体系认证规则及程序、《产品认证管理程序》（ICASP23）确保该条有效实施。

ICAS的组织结构确保检查或审核活动由审核经理负责，评价或认证决定活动由管理委员会指定的有能力的人员进行，评价或认证决定过程的协调管理由注册经理负责。《QMS,EMS,OHSMS认证管理程序》（ICASP03）、《EnMS认证管理程序》（ICASP24）、《ITSMS认证管理程序》

（ICASP25）、《ISMS认证管理管理程序》（ICASP26）、《FSMS/HACCP体系认证管理程序》（ICASP27）、《产品认证管理程序》（ICASP23）、《ABMS认证管理程序》（ICASP57）、《AMS认证管理程序》（ICASP36）、《CMS认证管理程序》（ICASP58）及《认证决定程序》（ICASP10）确保上述活动的实施。

ICAS established organization structure which is suitable for developing certification and self management to ensure that ICAS could offer creditability for certification, see details in the appendix 'organization structure and duty and responsibility statement' (AM0101).

This organization structure is designed to determine the tasks, responsibilities and authorities of management and other certification personnel as well as each committee in order to provide the best service for client. Plus it ensures the independence, impartiality, publicity, confidentiality and integrity of the certification process of the following three levels: strategy and policy, certification decision and audit/inspection：

Strategy and policy: Our dedicated, professional, high-quality, efficient and affable certification team and impartial and independent certification system make ICAS a several-countries recognized international certification body.

Certification decision: Certification decision maker shall be the person who dose not conduct the audit and has no interest relations with the organization who applies for certification.

Audit/inspection: The person who conducts audit/inspect has no interest relations with the organization who applies for certification.

This organization structure specifies the duty and responsibilities of each functional department, and it ensures that ICAS activities are carried out under the managing director's guidance. Managing director shall determine the required education, training, technical knowledge and experience of relevant personnel based on the type and scope of certification job. Managing director shall also assesses the sufficiency of resources during the management review each year to ensure that sufficient personnel and resources are equipped to ensure the quality of certification job.

ICAS organization structure ensure that the management committee is entitled the following authority and responsibility：

- The making of policy that is related to the operation of ICAS;
- Surveillance of the implementation of policy and procedure;
- Surveillance of finance of ICAS;
- When necessary, authorize committee or personal representative conduct activities on behalf of top management;
- Provide sufficient resources for the certification activity.
- Conduct requirement activity when necessary;

ICAS organization structure ensures that R&D department is responsible for the certification

service activity, development of certification scheme as well as making of certification requirements.

The audit department and registration department are responsible for the implementation of audit/inspection/evaluation. The market department and audit department are responsible for the surveillance of the certification agreement review, signing and fulfillment as well as feedback to the complaints from client or project personnel and certification personnel;

Certification decision maker from registration department is responsible for re-audit and certification decision.

HR department and technical resources department are responsible for the confirmation of the qualification of personnel competence.

Management representative manages the establishment, implementation and operation of the organization's management system on behalf of management level.

The organization structure established by ICAS could ensure that certification decision must be made by the person who does not conduct the audit/inspection. "*QMS,EMS,OHSMS certification management procedure*"（ICASP03）, "*EnMS certification management procedure*"（ICASP24）, "*ITSMS certification management procedure*"（ICASP25）, "ISMS *certification management procedure"*（ICASP26）, "FSMS/HACCP system *certification management procedure"*（ICASP27）, "*Management procedure of product certification*"（ICASP23）ensure that the above clause will be effectively implemented.

ICAS organization structure ensures that audit manager is responsible for the inspection or audit activity; evaluation or certification decision activities is carried out by competent person assigned by management committee; registered manager is responsible for the coordinated management of evaluation or the process of certification decision making. "*QMS,EMS,OHSMS certification management procedure*"（ICASP03）, "*EnMS certification management procedure*"（ICASP24）, "*ITSMS certification management procedure*"（ICASP25）, "ISMS *certification management procedure"*（ICASP26）, "FSMS/HACCP system *certification management procedure"*（ICASP27）, "*Management procedure of product certification*"（ICASP23），"*Management procedure of ABMS*"（ICASP57）、"*Management procedure of AMS*"（ICASP36）、"*Management procedure of CMS*"（ICASP58）and "*certification decision procedure*"（ICASP10） ensure the implementation of the above activity.

2.2.2 ICAS的最高管理层由ICAS所有者指定，组成管理委员会。总经理是管理委员会的成员，由管理委员会任命。总经理负责管理ICAS的日常运作。如没有其它文件另行特殊规定，总经理有权作任何决定。管理委员会任命管理者代表、注册经理及审核经理；其中管理者代表负责ICAS的质量管理体系建立实施和改进过程的总体控制，并及时向总经理汇报工作。需要时，总经理或管委会可代表ICAS最高管理层开展管理活动。组织结构如有变更需通知认可机构。

ICAS top management is assigned by the owner of ICAS and forms management committee. Managing director is the member of management committee and is assigned by management

committee. Managing director is responsible for the daily operation of ICAS management. Managing director has the authority to make any decisions if there is no otherwise special regulation in other document. Management committee assigns management representative, registration manager and audit manager, among which management representative is responsible for the total control of establishment, implementation and improvement process of ICAS quality management system, plus report it to the managing director immediately. When necessary, managing director or management committee could develop management activity on behalf of ICAS top management. In case the organization structure is changed, it shall be notified to the accreditation body.

2.2.3 ICAS市场部负责对各地办事处所从事的活动进行有效控制。ICAS应考虑这些活动给机构的能力、一致性和公正性带来的风险。

ICAS Market Department is responsible for the effective control of the business conducted by all local offices. ICAS shall consider the risks brought by these activities on the competence, consistency and impartiality of the company.

2.2.4 ICAS应考虑与所从事的认证活动相适宜的控制水平和方法，包括其过程、运作的技术领域、人员能力、管理控制和报告关系以及对操作系统（包括记录）的远程访问。

ICAS shall consider the control level and method which is applicable to the certification activities, including its process, technical area of the operation, personnel ability, relations between management control and report as well as remote access of the operating system (including record).

2.3 公正性及法律法规要求 Impartiality and Statutory and Regulatory Requirements

2.3.1 ICAS 的认证活动以公正的方式实施，应对其认证活动的公正性负责，不应允许商业、财务或其他压力损害公正性。ICAS 对所有被认证的公司一视同仁，不以客户的规模或是否是某一协会或社团成员以及获证客户的数量为限制条件，不实施任何形式的歧视(如加速或拖延申请等隐性的歧视行为)；在 ICAS 有资格的范围内，ICAS 的服务面向所有申请 ICAS 的客户，不附加任何不正当的财务和其它条件；当向客户提供认可的认证服务时，ICAS 的服务仅限于国家认监委、认可委及国外认可机构认可的业务范围。《文件控制程序》（ICASP04）中明确描述了 ICAS 的认证过程和要求的公开文件，该文件应提供给认证客户。必要时，ICAS 应向客户详细说明认证过程的细节。ICAS 就所达成共识的认证标准及范围执行认证审核过程。

ICAS conducts certification activities in an impartial way and it shall be responsible for the impartiality of its certification activities without letting commercial, financial or other pressure compromise it. ICAS treats the entire certified companies equally without considering the scale of the company or whether the company is the member of an association/organization or the numbers of certified clients, and have not any prejudice against on companies (no hidden discriminatory behavior, such as accelerating or delaying application). ICAS provides services for all clients applying for certification within its qualification without any improper financial and other conditions. ICAS provides accredited certification service which limits to the approved scope of CNCA, CNAS and foreign accreditation service. "*Document Control Procedure*" (ICAS P04) has a clear description of ICAS process and the required public documents which should be provided for the clients. If

necessary, ICAS should explain the certification process in detail. ICAS carries out certification audit on the agreed certification standards and scope.

2.3.2 对客户的管理体系审核遵循的准则是相应管理体系标准或是与其职能有关的规范性文件所给出的要求。

对客户的产品认证遵循的准则是其相应的标准或是与其职能有关的规范性文件所给出的要求。在没有适当的认可机构认可的导则或指南的特殊情况下，则应由相关的公正的委员会或具有必要的技术能力的人员参与下制定相关的解释性文件，并由 ICAS 发布。必要时需要报送国家认监委或相关部门审批后使用。

如需对这些认证文件在某特定认证项目（如特定行业的认证）的应用作出解释时，宜采用有 IAF MLA 认可机构成员认可的认可机构按 IAF 或其区域组织出版的指南。在没有适当的认可机构认可的导则或指南的特殊情况下，则应由相关的公正的委员会或具有必要的技术能力的人员参与下制定相关的解释性文件，并由 ICAS 发布。必要时需要报送国家认监委、认可委及国外认可机构或相关部门审批/备案后使用。

审核准则=认证标准要求+规定要求（顾客要求）+法则要求+对抽样/测试/检查和有关的管理体系评审等过程加以规定的其它规范性文件。

Criteria followed for client's management system audit is the relevant management system standards and the requirements of normative documents related to the functions.

Criteria followed for client's product certification is the relevant standards and the requirements of normative documents related to the functions. If there is no such guide manual, relevant explanatory documents should be formulated by relevant Committee or staff with necessary technical competence, and the documents should be issued by ICAS. If necessary, the documents should only be used after the approval of CNCA or relevant department.

If explanation should given in terms of the application of these certification documents in some specific certification project (such as specific industry), should use the guide manuals of the accreditation body recognized by the member of IAF MLA published by IAF MLA or its regional organization. If there is no such guide manual, relevant explanatory documents should be formulated by relevant Committee or staff with necessary technical competence, and the documents should be issued by ICAS. If necessary the documents should only be used after the approval of CNCA, CNAS and foreign accreditation body or relevant department.

Audit criteria= requirements of certification standards+regulated requirements (client requirements)+rule requirements + other normative documents specifies sampling/testing/inspecting and relevant management system review process

2.3.3 ICAS是具有独立法律地位的认证机构，在任何情况下都不提供可能影响认证公正性、保密性及客观性的服务；

有关ICAS识别和分析认证活动可能存在的风险、包括ICAS各种关系引起的冲突的可能性、或对认证活动的公正性可能造成威胁的来源的识别与分析，依据《认证风险识别与管理程序》（ICASP18）识别分析，对有重要影响的风险制定管理方案并进行评价（见《ICAS风险管理方

案评价报告》（AM0229））。文件中应分析、评估、处置、监视风险，及证实已识别ICAS内部还是其他个人、机构或组织的活动所产生的所有的潜在威胁，评价报告应每年进行一次评审，并将分析结果报每年一次的顾问委员会（公正性评审委员会）会议审议。当某种关系对ICAS的公正性构成不可接受的威胁时，ICAS不应提供认证。

ICAS与其它公司没有合同关系，也没有非正式的协定，名称中没有与其它公司共同的部分；ICAS的所有者及股东、董事成员均不从事上述活动。

ICAS不应向对认证的公正性构成不可接受的威胁的其他公司提供认证。这种情况包括ICAS的全资子公司所提请的认证。

如果将来ICAS与其它公司合资、合作或增加新股东等时，需考虑相关机构或人员的活动是否影响认证活动的保密性、客观性及公正性，分析与这些机构的关系并有效管理以消除实际的利益冲突或将已识别出的对公正性的风险降至最低。相关机构的任何活动都不得同ICAS的认证连带推销或暗示使用相关机构的服务或产品将使认证容易或给客户带来其它商业上的利益。

ICAS is a certification body who has independent legal status. Under no circumstances should ICAS provide services that may affect the impartiality, confidentiality and objectivity of certification;

For the possible risks of ICAS identification and analysis certification activities, including the identification and analysis of possibility of conflicts raised by different relations of ICAS, or sources which may compromise the impartiality of the certification activity; it shall be identified and analyzed according to 'Identification and management procedure for certification risk identification' (ICASP18) and prepare management scheme and conduct evaluation against risks which may have a significant impact (see '"ICAS Evaluation Report on Risk Management Programme" (AM0229). In the document, it shall analyze, assess, dispose and supervise the risk as well as verify all the identified potential risks within the ICAS, or from other person, body or organization's activities. The evaluation report shall be reviewed once a year and submit the result to the once every year Advisory Committee (Impartiality Review Committee) for examination. ICAS shall not provide certification if certain relations may bring unacceptable threat to the impartiality of ICAS.

ICAS has no contractual relationship and informal agreement with other companies. There is no common part with other companies in the title. The owner, shareholders and directors of ICAS are not engaged in the above activities.

ICAS shall not provide certification to other companies which may pose a threat to impartiality of certification. This situation may include the certification application by the wholly-owned subsidiaries by ICAS.

If ICAS becomes a joint venture with other companies or has new shareholders in the future, ICAS should consider whether the relevant companies and the staff's activity influence the confidentiality, objectivity and impartiality of the certification or not. ICAS should analyze the relationship between them and manage effectively to eliminate the actual interest conflicts or minimize the identified risk. Any activity of the relevant companies should not be associated with ICAS. Any hint of an easier certification or commercial profit for the client when the service or the

product used is not allowed.

2.3.4 ICAS在组织的最高层次建立顾问委员会（ICAS维护公正性委员会）。顾问委员会应参与有关的认证制度的制定，确保认证活动的公正性。这些活动包括且不限于：
● 协助制定与认证活动公正性有关的政策（方针和原则）；
● 阻止任何倾向使商业因素或其他因素妨碍其一致地提供客观的认证活动；
● 对影响认证的公正性、保密性等事项(包括信息公开)提出建议；
● 至少每年对ICAS审核、认证和决定过程的公正性进行一次审查。
● 确认任何残留风险并决定其是否处于可接受的水平。

该委员会也是ICAS的顾问组织，为ICAS业务发展提供支持，但这些附加的任务或职责不得削弱其确保公正性的基本作用。

管理委员会向顾问委员会提供有关认证体系重大变更等相关的信息并获得顾问委员会的评审、同意。顾问委员会无权决定个人注册及财务事宜。

管理委员会向顾问委员会提供风险评估过程。该过程应包括识别适宜的利益相关方，并就影响公正性（包括公开性和公众认知）的事宜向其征询意见。向适宜的利益相关方征询意见应以均衡的、任一方不处于支配地位的方式进行。

ICAS establishes advisory committee(ICAS impartiality committee) at its top level. Advisory committee shall participate in the making of relevant certification system to ensure the impartiality of the certification activities which include but not limited to：

a) Assist in the making of policy which is related to the impartiality of certification activity (policy and principle);

b) Prevent the certification body from having any tendency which is commercial or other factors which may hinder it from conducting certification activity with objectivity;

c) Give suggestions to matters which may affect the impartiality and confidentiality;

d) Conduct examination on the impartiality of the audit, certification and decision making process implemented by ICAS at least once every year;

e) Determine any residual risk and if it is at an acceptable level.

The committee is ICAS's consultancy organization as well, it provides assistance in the development of certification business for ICAS, and however, the additional tasks or duties shall not weaken the basic role of it as to ensure the impartiality.

The management committee shall provide information about certification system change and other related information for the advisory committee to be reviewed and approved by advisory committee. Advisory committee has no authority to make decision on personal registration and financial matters.

Management committee submits risk evaluation process to the advisory committee. The process shall include identifying appropriate interested parties and asking for their advice on the matters which may compromise the impartiality (including disclosure and public awareness). When asking for the advice from appropriate interested parties, non party is at the dominate position.

2.3.5 顾问委员会由与认证活动有关的代表组成,包括ICAS的客户、政府监管机构或其他部门代

表、行业协会代表、制造商或供方代表、获证客户的顾客、非政府组织（如消费者组织）、本机构代表等。

对于HACCP认证，ICAS顾问委员会成员可以由HACCP体系认证涉及的关键利益方担任，这些利益方可能包括：HACCP体系ICAS的客户，获证客户的顾客，行业协会代表，政府监管机构或其他政府部门的代表，或非政府组织（包括消费者组织）的代表。

对于OHSMS认证，ICAS顾问委员会成员可以由OHSMS体系认证涉及的关键利益方担任，这些利益方可能包括：上级组织，供应商、承包商和分包商，工人组织（工会）和雇主组织，业主，股东，客户，访客，工作人员的亲属，当地社区、组织的邻居以及公众，顾客，医疗和其他社区服务，媒体，学术界，商业协会和非政府组织（NGO），职业健康和安全组织以及职业安全和保健专业人员（例如：医生和护士）。

对于OP认证，ICAS顾问委员会成员至少包括供方、消费者、合格评定专家、农业专家和环保专家。

有关顾问委员会的职责、权限及运作规定参见文件《顾问委员会章程》（AM0110），由ICAS最高管理者授权，以确保：

1)维护公正性委员各方利益均衡,任何一方不处于支配地位；

2)获取所有必要的信息，使其能够履行自己的职能；

3)如果ICAS最高管理层不尊重委员会的建议，顾问委员会应有权采取独立措施（如报告主管部门、认可机构或利益相关方）。采取独立措施时，委员会应尊重与客户和ICAS相关的保密要求。

顾问委员会至少每年对ICAS的检查/审核、认证和决定过程的公正性进行一次审查。

Advisory committee is composed of representatives who are related to the certification activities which include client of ICAS, representatives of government supervision departments or other departments, representatives of industrial association, external provider or manufacturer representatives, client of certified client, non-government organization (such as client association), representatives from our organization etc.

For HACCP certification, members of ICAS advisory committee could be played by the key interested parties involved in the HACCP system certification, these interested parties may include: ICAS certified client of HACCP system, client of the certified client, representatives of industrial association, representatives of government supervision organization or other government department, or representatives of non-government organization(including client association).

For OHSMS certification, members of the ICAS Advisory Committee can be held by key stakeholders involved in OHSMS system certification. These stakeholders may include: legal and regulatory authorities (local, regional, national or nternational), parent organizations, suppliers, contractors and subcontractors, workers' organizations (trade unions) and employers' organizations, owners, shareholders, clients, visitors, relatives of workers, local community and neighbours of the organization and the general public, customers, medical and other community services, media, academia, business associations and non-governmental organizations (NGOs), and vii) occupational health and safety organizations and occupational safety and healthcare professionals (for example doctors and nurses).

For OP certification, members of the ICAS Advisory Committee include at least suppliers,

consumers, conformity assessment experts, agricultural experts and environmental experts.

For the responsibilities, authorities and operational regulations of advisory committee, please refer to the document 'Regulations of Advisory Committee'(AM0110), which is authorized by top management of ICAS in order to ensure:

1) interest of all interest parities shall be protected and non party is at the dominate position;

2) Acquire necessary information so as their own responsibilities can be fulfilled;

3) IF ICAS's top management fails to respect the advice from the committee, advisory committee has the rights to adopt independent actions (e.g. reporting to the director department, accreditation body or interested parties). When adopting independent actions, committee shall respect the confidentiality requirements in regard to the client and ICAS related matters.

Advisory committee shall conduct a review of the impartiality of inspection/audit, certification and decision making process carried out by the certification body at least on a yearly basis.

2.3.6 ICAS不对其他认证机构的质量管理体系认证活动进行认证。

ICAS does not conduct certification of other certification bodies' quality management system .

2.3.7 ICAS应持续地进行公正性风险识别。确保所有参与认证的高级主管、顾问委员会成员、认证决定人员、产品认证评价人员（含检查员）、审核员及与认证相关的其余员工必须签署保密协议及/公正性声明，以明确了解任何可能使其或ICAS陷入利益冲突的情况及可能的公正性风险；任何参与认证的人员如发现与所从事的认证项目有利益冲突，应通告ICAS管理委员会，以便管理委员会作出适当的安排，确保对参与认证的人员不会因受到来自商业、财务和其它方面的压力，最大限度减小公正性风险，而影响认证结果。

ICAS shall continuously conduct identification of impartiality risks. The senior executive, members of advisory committee, certification decision makers, product certification evaluators (including inspectors), auditors and other relevant staff must sign the confidentiality agreement and impartiality statement to fully understand any situation which may bring interest conflict to them or ICAS. If any one involved in the certification finds an interest conflict with the certification project, he or she should inform the ICAS Management Committee so that the Committee can make proper arrangements to ensure that the personnel involved in certification being protected from commercial, financial and other stress, which will maximally reduce impartiality risk from compromising the certification result.

2.3.8 为保持认证公正性，ICAS不向申请认证的客户提供或者推荐管理咨询公司，不向客户提供咨询报价，更不应向客户明示或暗示选择某咨询机构的便利性；当发现有咨询机构向客户明示或暗示选择ICAS的便利性时应及时向客户进行认证流程的说明并要求该咨询机构对此行为予以纠正。总之ICAS应确保不与咨询机构建立关系以防止出现任何威胁认证公正性的情况。如果发现客户的管理体系接受了某家与ICAS有关联的咨询机构的管理体系咨询或内部审核，则ICAS在至少两年内不对该管理体系进行认证。

In order to ensure the impartiality, ICAS shall not offer or recommend management consultancy companies to its certification applicants, provide consultancy quotation for the client or even suggest implicitly or explicitly the convenience of choosing certain consultancy organization to the client. If consultancy organization is found to have suggested implicitly or explicitly to the client the

convenience of choosing ICAS, ICAS shall explain the certification process to client immediately and require this consultancy organization to correct such behavior. All in all, ICAS shall make sure that it would not build relationships with consultancy organization to prevent any threat to the certification impartiality. If the client's management system is found to be receiving consultancy or internal audit by a consultancy organization which is related to ICAS, ICAS shall not carry out certification to this management system within two years.

2.3.9 为保持认证公正性，ICAS不向获证客户提供内部审核。如果已对某个组织的管理体系提供了内部审核，则不应在内部审核结束后两年内对该组织的管理体系进行认证。

In order to maintain the certification impartiality, ICAS shall not provide internal audit for the client. If it has provided internal audit to the management system of certain organization, it shall not conduct certification to the management system of this organization within two year after the internal audit has finished.

2.3.10为保持认证公正性，ICAS承诺不将审核分包给管理体系咨询机构。ICAS及其所属的其他机构不提供食品安全管理体系咨询。

In order to maintain the certification impartiality, ICAS promises that it would not outsource audit to management system consultancy organization. ICAS as well as other organization it belongs to provide no consultant of food safety management system.

2.3.11 ICAS不使用对客户管理体系咨询或内部审核的人员对该客户进行审核或其他认证活动。ICAS要求客户在认证申请时明确说明人员的姓名。

ICAS要求在两年之内，不允许向认证客户提供过管理体系咨询或产品咨询的人员从事对该管理体系或产品的符合和认证决定。

ICAS would not use the personnel who have been involved in management system consultancy or internal audit towards the client for the client to conduct audit or other certification activities. ICAS requests client to specify the name of consultancy personnel when applying for certification.

ICAS requires that within two years of time, it shall not permit personnel who have provided management system consultancy or product consultancy for certified client to engage in the conformity and certification decision-making of this management system or products.

2.3.12 ICAS确保与其有关联的其他法律实体如ICAS检测的活动不损害其认证活动的公正性。如ICAS检测提供或生产获证产品（包括拟认证的产品）或提供咨询时，ICAS的管理人员、复核和认证决定人员不应参与ICAS检测的活动。该ICAS检测的人员不应参与ICAS的管理、复核和认证决定。

ICAS ensures that activities from other legal entity which has relations with it such as ICAS Testing would not compromise the certification impartiality. For example, when ICAS Testing is offering or manufacturing certified product (including planned to be certified product) or offering consultancy, management, review and certification decision making personnel of ICAS shall not participate in the ICAS Testing activities. The testing person shall not participate in the management, review and certification decision making for ICAS.

2.3.13 ICAS通过管理委员会制定管理规定、监督执行情况；顾问委员会每年进行审查的方式，实现培训（包括相关增值服务）、审核和作出认证决定等工作环节相互分开。

ICAS makes management regulations and supervises its operation through management

committee. The way that advisory committee carries out examination shall be separated from working links such as training realization(including relevant value-added services), auditing and certification decision making etc.

2.4 管理体系 Management System

2.4.1 ICAS 管理委员会负责制定质量方针，包括质量目标和质量承诺，并形成文件（参见本文件前言）；方针、质量目标和质量承诺通过培训或张贴上墙等其它有效方式传达到 ICAS 各个部门和客户，使该方针目标得到员工的广泛理解，并应用在相关的工作岗位上，从而使其能充分得以实施和保持。

ICAS Management Committee is responsible for prepare quality policy including quality objectives and quality commitment which shall both be documented (refer to the Forward of this document). The policy, quality objectives and quality commitment should be passed on to the each department and clients of ICAS through training or other effective ways, so that it can be widely understood by the staff and applied to related posts, thus being implemented and maintained fully.

2.4.2 为了向客户提供可信的管理体系认证服务及产品认证服务，ICAS 依据 CNAS-CC01_2015(ISO/IEC 17021-1：2015)方式 A 及 CNAS-CC02：2013(ISO/IEC 17065：2012) 方式 A，建立文件化的管理体系。所建立的质量管理手册及程序文件下发到相关的部门并充分与使用者沟通，必要时进行培训，确保其文件化的体系得以有效的实施。

由管理委员会任命一名管理者代表，以确保：

1) 依据 CNAS-CC01_2015、CNAS-CC18:2014、CNAS-CC175：2013、CNAS-CC190：2015 及 CNAS-CC02：2013 等认可要求建立、实施并保持管理体系有效运行；

2) 组织内审并向 ICAS 管理者报告管理体系运行情况，以供管理评审和作为质量管理体系改进的基础。

*上述 1）和 2）的职责也可由最高管理者直接担当。

Provide the clients with creditable management system certification service and product certification service, ICAS establishes documented management system according to the CNAS-CC01_2015(ISO/IEC 17021-1：2015) - Method A and CNAS-CC02:2013(ISO/IEC 17065:2012) - Method A. The quality management manual and procedure document are given out to relevant departments and communications with the users fully. When necessary, training should be carried out to ensure the documented system is implemented effectively.

The general manager appoints a management representative to ensure that:

1) Establish, implement and maintain an effective operation of the management system according to the requirements of CNAS-CC01_2015, CNAS-CC18:2014, CNAS-CC175:2013, CNAS-CC19:2015 and CNAS-CC02:2013;

2) Organize internal audit and report the operation of the management system to the ICAS

managers, as a reference for the management review and a base for the improvement of the quality management system.

*The above 1) and 2) can also be performed by the chief executive directly.

2.4.3 ICAS 按 CNAS-CC01_2015(ISO/IEC17021-1：2015)、CNAS-CC18:2014、CNAS-CC190:2015、CNAS-SC15:2015、ISO19011、IAF MD9、CNAS-CC02：2013（ISO/IEC17065：2013）、CNAS-CC175：2017 等要求建立管理体系，并以质量管理手册和相应的管理程序的方式文件化，质量管理体系文件包括或涉及以下内容：

● ICAS质量方针、目标及质量承诺；质量方针和目标在质量管理手册前言中已详细说明。"前言"下发到所有ICAS员工、管理委员会及顾问委员会成员。

● 在质量管理手册的附件中对 ICAS 法律地位进行简要说明，包括所有者的名称；

● 影响认证质量的高级管理人员、和其他内、外部认证人员的姓名、资格、经历和权限；

● 组织结构图，该组织结构图能明确从高级主管到各层次的权限、职责和职能分配情况，尤其明确负责评审的人员和做认证决定的人员之间必须相对独立的关系；

● ICAS 顾问委员会的组成、权限和程序规则；并明确顾问委员会成员分别代表哪一方；

● 明确建立《内审、管理评审程序》（ICASP07），明确实施管理评审的方针和程序；

● 明确建立《文件控制程序》（ICASP04）、《记录控制程序》（ICASP05）等管理程序；

● 明确与各管理体系认证及产品认证有关的各职能部门及相应人员的职责并将其文件化，作为质量管理手册的附件传达给各个部门，以使每个人的职责权限能让所有相关人员了解；

● 明确能力由所建立的管理体系来支撑，建立《人员资格、聘用、培训及监控程序》（ICASP02）、《人员能力管理程序》（ICASP12）；以应用所确定的能力准则，对所有参与管理和实施审核与认证的人员进行能力评价，并持续监视其能力和绩效。这些过程的输出应是识别出有能力的人员，即被证实具有审核与认证过程不同职能所需的能力水平的人员。

1）建立《分包程序》（ICASP09），对可能发生分包时的分包商能力进行评价、见证、记录与监督并建立分包方的清单以供认可机构的审核；

a）《内审、管理评审程序》（ICASP07）涵盖确保不符合项得到有效纠正并有效预防的程序纠正(预防)措施管理程序（ICASP17）；

b）评价产品和管理体系实施认证过程的方针和程序，包括：

1）建立和及时更新《QMS,EMS,OHSMS 认证管理程序》（ICASP03）、《EnMS 认证管理程序》（ICASP24）、《ITSMS 认证管理程序》（ICASP25）、《ISMS 认证管理管理程序》（ICASP26）、《FSMS/HACCP 体系认证管理程序》（ICASP27）、《产品认证管理程序》（ICASP23）、《ABMS 认证管理程序》（ICASP57）、《AMS 认证管理程序》（ICASP36）、《CMS 认证管理程序》（ICASP58），覆盖了对各管理体系认证及产品认证中所用文件、使用情况的要求；指导认证相关人员执行对客户管理体系或产品进行

评审和认证；覆盖对获证客户进行监督和再认证的程序要求；

2）明确认证证书内容、认证标识式样及使用规则的文件，如《认证证书及标志的控制程序》（ICASP08）

3）明确认证决定过程要求的文件，如《认证决定程序》（ICASP10）；

4）明确获证客户或其他认证相关人员投诉、申诉处理流程及处理方式的文件，如《申诉、投诉、争议处理程序》（ICASP06）；

5）根据认证标准及认可规范文件的要求的更新，及时更新 ICAS 的产品和管理体系认证程序。

依据 ISO 22003-1:2022、CNAS-CC180:2023、CNAS-SC180:2023、CNAS-SC185:2023，更新《FSMS/HACCP 体系认证管理程序》（ICASP27）及相应要求，以保证在过渡期内及过渡期结束后按新的认证认可规范要求实施 FSMS 和 HACCP 认证。

ICAS 的认证活动所遵循的方针和程序以及对它们的管理是非歧视性的。该方针和程序不应妨碍或阻止申请人申请。

只要申请人申请的认证活动属于 ICAS 的认证业务范围，ICAS 都对其提供相同的服务。不以申请人的规模、某一协会或团体的成员、已颁发证书的数量作为实施认证的限制条件。不含有任何不恰当的财务或其他条件。

ICAS 只在认证范围内做出与要求、评价、复核、决定和监督（如果有）有关的事项的规定。

ICAS has established management system according to the requirements of CNAS-CC01_2015 (ISO/IEC17021-1：2015), CNAS-CC18:2014, CNAS-CC190:2015, CNAS-SC15:2015, ISO19011, IAF MD9, CNAS-CC02:2013（ISO/IEC17065:2013），CNAS-CC175:2017 and relevant requirements. And it is documented in the form of quality management manual and corresponding management procedure. The quality management manual includes or covers the following content:

- Quality policy, quality objectives and quality commitment of ICAS: the quality policy and objectives have been explained in detail in the preface of the quality management manual. The Forward is given out to every staff of ICAS and each member of the Management Committee and the Advisory Committee;

- A brief introduction on ICAS legal status, including the owner's name in the Annex of the quality management manual;

- Names, qualifications, experiences and authorities of the senior administrative officers and other internal or external staff who may have an impact on the quality of certification;

- An organizational structure chart which clarifies distribution of authorities, responsibilities and functions from senior executives to all levels of staff and also specifies the relative independent relationship between staff responsible for review and certification decision makers;

- Composition, authorities and procedural rules of ICAS advisory committee, and description of

which part each member of advisory committee represents;

- Define "Internal Audit and Management Review Procedure"(ICASP07) and policy and procedure of management review;

- Define "Document Control Procedure" (ICASP04) and "Record Control Procedure*"* (ICASP05) and other management procedures;

- Define various quality management system certification as well as functions of all functional departments related to the product certification and relevant personnel, and make it documentation as the appendix of the quality management manual to deliver to all departments, therefore, the responsibilities and rights of each person can be known by all relevant personnel;

- Define that competence is supported by the established management system, and define the *Personnel Qualification Employment Training and Monitoring Procedure* (ICASP02) and *Management Procedure of Personnel Competence* (ICASP12) in order to adopt the determined competence principles and make evaluation on all personnel who participates in management as well as audit and certification, and continuously monitor their abilities and performance. The output of these processes is to identify the competent personnel who is proven to be the competent personnel required by different audit and certification processes.

1）Establish *Outsourcing Procedure* (ICASP09) to evaluate, witness, record and monitor the subcontractors' competence. Establish a list of the subcontractors for the auditing of the accreditation bodies;

a）*Internal Audit and Management Review Procedure* (ICASP07) covers the procedure of ensuring the non-conformance get an effective correction and precaution *Corrective (Preventative) actions Management Procedure*（ICASP17）;

b）Policy and procedure which evaluate products and certification realization process of management system, including:

1) Establish and update *QMS, EMS, OHSMS Certification Management Procedure*（ICASP03）, *EnMS Management Procedure*（ICASP24） and *ITSMS Certification Management Procedure*（ICASP25）, ISMS *Certification Management Procedure* （ICASP26）, FSMS/HACCP System *Certification Management Procedure* （ICASP27）, *Product Certification Management Procedure*（ICASP23）, "*Management procedure of ABMS*"（ICASP57）、"*Management procedure of AMS*"（ICASP36）、"*Management procedure of CMS*"（ICASP58）which cover requirements for document used and using conditions in each management system certification and production certification, guide relevant certification personnel to conduct review and certification of client's management system or product and cover requirements for surveillance and recertification of certified client;

2) Define the content of certification certificate, certification mark pattern, and user's guide

document, such as 'Control procedure of certification certificate and mark' (ICASP08)

3) Define requirements for certification decision making, such as 'Certification Decision Procedure' (ICASP10);

4) Define dealing process document of complaints and appeals from certified client or other relevant certification personnel, such as 'Dealing Procedure of complaints, appeals and disputes' (ICASP06);

5) Update ICAS product and management system certification procedures intime according to the requirements of certification standards and acceptance specifications.

According to ISO 22003-1:2022 CNAS-CC180:2023、CNAS-SC180:2023、CNAS-SC185:2023，Update the FSMS/HACCP System Certification Management Procedure (ICASP27) and corresponding requirements to ensure the implementation of FSMS and HACCP certification in accordance with the new certification and accreditation standards during and after the transition period.

The policy and procedure of certification activities which ICAS follows and the management towards them is non-discriminational, which shall not hinder or stop applicants from applying.

As long as the certification activities applied by the applicants are within the certification scope, ICAS provides services for them all the same. It would not take the size of applicants, member of certain association or group and the number of certificates that has been issued as restricted conditions. It does not include any improper or other conditions.

ICAS only makes rules about items such as requirements, evaluation, review, decision and supervision (if any) within the certification scope.

2.4.4 ICAS 还应考虑管理层和行政人员所承担的职能以满足认证实施的人员能力要求，通过建立《人员资格、聘用、培训及监控程序》（ICASP02）、《人员能力管理程序》（ICASP12）等人员能力管理文件进行规定。

ICAS 允许采用外部技术专家或内部技术支持人员，运用其所涉及的技术领域、管理体系类型和地域等方面的知识，技能，从而获得与认证直接相关的建议。这些技术专家的使用通过《人员资格、聘用、培训及监控程序》（ICASP02）等文件进行规定。

ICAS shall also consider the functions that management and administrative personnel undertake so as to meet the competence requirements for certification enforcement personnel by setting up *Personnel Qualification, Employment, Training and Monitoring Procedure* (ICASP02), and *Management Procedure of Personnel Competence* (ICASP12) as well as other management document.

ICAS allows use external technical experts or internal technical supporting personnel to use their knowledge and skills in technical areas, management system types and region etc. in order to receive suggestions which relates to the certification directly. The employment of these technical experts is specified in the documents such as *Personnel Qualification, Employment, Training and Monitoring Procedure* (ICASP02).

2.5 认证相关人员 Related Certification Personnel

2.5.1 基本要求 Basic Requirements

2.5.1.1 ICAS 制定组织结构及职责权限说明、管理体系认证管理程序、产品认证管理程序以及人员能力管理程序，确保认证活动所涉及的所有职能的认证人员，包括所使用的审核员/检查员和审核组长/检查组长、技术专家具备通用的审核/检查知识与技能以及特定技术领域审核/检查所需的知识与技能。这些人员能够支撑机构与认证方案、适用的标准及其它规范性文件相关的运行，并满足足够数量的要求。

在认可的业务范围内，使用符合认可机构的要求和适用的行业项目要求的自控资源，参与管理和实施审核/检查与认证的人员应具有胜任本职工作的能力，关注管理和技术能力及其运作涉及的管理体系类型、产品认证项目类型和地域有适宜的相关知识及特定认证方案相关的每个技术领域所需能力，以及认证活动的每项职能所需要的能力。

ICAS应确定认证过程中每项职能所需人员能力的准则，确定时要考虑认证方案的要求；

ICAS应识别培训需求，必要时提供有关对认证过程、要求、方法、活动和其他有关认证方案要求的培训方案；并由技术资源部负责向审核员/检查员、技术专家和其他参与认证活动的人员提供或使其有机会参加特定的培训，以确保他们胜任所从事的工作。

ICAS应制定认证人员的能力准则和履行职能前证实能力的方法，并证实这些人员具备承担任务和责任所需的能力；

ICAS应为认证过程中履行职能的人员正式授权；

ICAS应监视人员绩效。

ICAS 的顾问委员会应至少具有所从事的认证领域的一名专业人员或技术专家，具备在该领域从事认证活动的相关的典型过程、产品和体系要求的足够知识，使 ICAS 能够运作有效体系来识别和规定在每个领域中从事认证所需要的能力。

做出授予、拒绝、保持、更新、暂停或撤销认证或者扩大或缩小认证范围等决定的人员应理解适用的标准和认证要求，并经通过技术资源部和注册部经理评价合格，才能证实有能力评价审核过程和审核组的推荐意见。

认证决定或评价必须由未参与审核或产品认证检查的人员执行。如认证决定人员参与或发生利益冲突的审核，由管理委员会或管理委员会指定的人员代替认证决定人员履行其职责。

认证管理及实施的人员应包括认证决定人员、合同评审/认证方案管理人员、审核/检查人员/技术专家等人员。

ICAS应根据认证业务范围的特点和人员所承担的任务，参考CNAS-SC185之C2条款，确定各类人员（如从事合同评审、审核方案管理、审核实施、认证决定、认证人员能力评价、培训指导与管理等工作的人员）的管理能力和/或专业能力资格准则，以确保认证审核员应当具备实施危害分析、按标准要求实施HACCP体系认证活动的能力。并对相关人员进行评价、聘用、培训和监视，以确保认证审核员应当具备实施危害分析、按标准要求实施HACCP体系认证活动的能力。

ICAS应确保相关认证人员对其运作所涉及的相关食品行业活动具有适宜的HACCP体系知识，可包括（但不限于）下述的一个或多个方面内容：

a) 相关的HACCP体系标准；

b) 食品安全危害的识别；

c) 关键控制点和关键限值的确定；

d) 可操作的预防措施；

e) 致敏物质管理；

f) 食品欺诈预防。

ICAS 对所从事的每个技术领域进行风险评估，并根据技术复杂程度确定风险等级，根据不同风险等级确定能力要求。详见程序 ICASP12 及其附件、文件 AP1220。

ICAS 具备胜任下列工作的管理者：

a) 负责选择审核员/检查员并验证其能力；

b) 给审核员/检查员提供简要指导和安排必要的培训；

c) 对认证的批准、保持、暂停、撤销、扩大或缩小做出决定；

d) 制定并运行申诉、投诉和争议处理程序。

以上管理认证活动的人员能力要求在质量管理手册附件《组织结构及职责权限说明》（AM0101））、《人员资格、聘用、培训及监控程序》（ICASP02）、《人员能力管理程序》（ICASP12）对人员资格要求中加以文件化。这些人员应清楚自己的任务、责任和权利，有能力履行职责，包括根据需要做出技术判断、确定方针并加以实施。除非法律或认证方案有要求，无论委员会成员、外部机构人员或代表 ICAS 利益的人员，对认证活动过程中获得的或产生的所有信息都应保密。

ICAS prepares statement of organizational structure and responsibilities and authorities, management procedure for management system certification, product certification management procedure and personnel competence management procedure in order to ensure that personnel of all functions involved in the certification activities including the auditor/inspector, audit team leader and technical experts have the knowledge and skills of general audit/inspection as well as audit/inspection in certain technical area. These personnel could assist the operation of organization and certification scheme as well as the applicable standards and other normative document, plus it meets the number requirements.

ICAS uses self-controlled resources which meet the requirements from accreditation organization and applicable industry . The staff joining in the management and implementation of audit and certification should have the competence to perform his duty. Pay attention to the management awareness, technical competence, the management system type, Product certification project types and geographical relevant knowledge ability related to operation and competence required by each technical area related to specific certification plan and competence required by each function of the certification.

ICAS shall determine the competence principle for personnel required for each function during the certification process, requirements of certification scheme shall be taken into consideration while determining;

ICAS shall identify training requirements, and provides training scheme which require on the certification process, requirements, methods, activities and other certification related programme when necessary. Technical resources department is responsible to provide training or opportunity for training for auditor/inspector, technical expert and other personnel participating in the certification activity to ensure they can be competent at their jobs.

ICAS shall prepare competence criteria of certification personnel and proving method before fulfilling its job, and prove that these personnel have the ability to undertake the tasks and responsibilities.

ICAS shall formally authorize the personnel who fulfill the function during certification process;

ICAS shall monitor personnel's working performances.

Advisory Committee of ICAS should at least have a professional auditor or technical expert who has sufficient knowledge required by relevant typical process, products and system in the engaged certification field to enable ICAS to identify and formulate the competence required by certification in every field through effective system.

Person who makes decision of granting, refusing, maintaining renewing, suspending or withdrawing certification or expanding or reducing certification scope shall understand the applicable standards and certification requirements. Also, the person shall pass the evaluation from manager of technical resources department and registration department, then he/she is proven to has the ability to evaluate audit process and recommendation of audit team.

Certification assessment and decision must be implemented by staff not involved in the audit. If certification decision makers participates in the interest conflict audit, he/she shall be replaced by the management committee or the person appointed by it.

Personnel doing certification management and implementation shall include certification decision makers, personnel of agreement reviewer/certification scheme management, auditing/inspection/technical experts etc.

ICAS shall determine the management competence and/or professional competence qualification criteria of all kinds of personnel (e.g. personnel who engages in contract review, audit programme management, audit implementation, certification decision, competence evaluation of certification personnel, training guidance and management etc.) according to the characteristics of certification business scope and tasks of personnel and clause C2 of CNAS-SC17, and conduct evaluation, employment, training and supervision of related personnel. article G2 provides guidance on the professional requirements of the persons involved. so as to ensure the audit is capable of conduct hazard analysis and implementation of HACCP system certification. And conduct evaluation, employment, training and supervision of related personnel.

ICAS shall ensure related certification personnel have the applicable knowledge of HACCP system for the food industry activities it involves in, it includes (but not limited to) one or several of the following content:

a) related HACCP system standards;

b) identification of food safety hazard;

c) HACCP and determination for key limit value;

d) feasible preventive actions；

e) Allergen management;

f) Food fraud prevention.

ICAS carries out risk evaluation for each technical area and determines the risk level according to the degrees of technical complexity. Based on the level of risk determine the requirements of competence. Refer to procedure ICASP12, its annex and document AP1220 for details.

ICAS has management personnel who can perform following tasks:

a) Be responsible for selecting auditors/inspectors and verifying their competence;

b) Provide auditors/inspectors with brief guidance and arrange necessary training;

c) Make decisions on certification approving, maintaining, suspending, withdrawing, expanding or reducing;

d) prepare and operate the procedure for handling appeal, complaint and dispute.

Competence requirements of the above managers are specified in the annex of quality management manual *Statement of Organization Structure and Responsibilities and Authorities* (AM0101). *Personnel Qualification, Employment, Training and Monitoring Procedure* (ICAS P02) and *Personnel Competence Management Procedure* (ICASP12) make the documented staff qualification requirements. These personnel shall be familiar with their tasks, responsibilities and rights, they shall have the ability to fulfill their duties including making technical judgment, confirming policy and take action when necessary. Unless law or certification scheme requires, members of committees, external organization personnel or representatives of ICAS interest shall keep secret of information obtained during certification process.

2.5.1.2 文件《记录控制程序》（ICASP05）明确保存参与认证过程的每一工作人员自控资源的相关资格、培训及经历的综合信息记录，培训及经历的记录是最新的。并定期更新。

Record Control Procedure (ICASP05) defines that records of comprehensive information record regarding qualification, training and experience of self-controlled resources of each staff engaged in the certification process shall be stored. The training and experience record should be the latest one and updated periodically.

2.5.1.3 文件《人员资格、聘用、培训及监控程序》（ICASP02）及《人员能力评价程序》（ICASP12）选择能胜任相应认证活动的人员。《人员资格、聘用、培训及监控程序》（ICASP02）中明确指出对审核员的能力可以通过验证其经历、评价、特定培训或简要的指导来确定。ICAS应同所有ICAS使用的认证人员保持有效的联络。

Personnel Qualification, Employment, Training and Monitoring Procedure (ICASP02) and *Personnel Competence Evaluation Procedure* (ICASP12) select personnel who is capable of certain certification activities. *Personnel Qualification, Employment, Training and Monitoring Procedure* (ICASP02) specifies that the auditor's competence can be determined through verification of his experience, evaluation, specific training or brief guidance. ICAS should keep in touch with all of the employed certification persons.

2.5.1.4 文件《QMS,EMS,OHSMS 认证管理程序》（ICASP03）、《EnMS 认证管理程序》（ICASP24）、《ITSMS 认证管理程序》（ICASP25）、《ISMS 认证管理管理程序》（ICASP26）、《FSMS/HACCP 体系认证管理程序》（ICASP27）、《产品认证管理程序》（ICASP23）、《ABMS 认证管理程序》（ICASP57）、《AMS 认证管理程序》（ICASP36）、《CMS 认证管理程序》（ICASP58），确保将明确规定 ICAS 人员的职责和任务的最新有效版本的指令文件发给相应人员。

QMS, EMS, OHSMS Certification Management Procedure（ICASP03），*EnMS Certification Management Procedure*（ICASP24），*ITSMS Certification Management Procedure* （ICASP25），ISMS *Certification Management Procedure* （ICASP26），FSMS/HACCP System *Certification Management Procedure* （ICASP27），and *Product Certification Management Procedure*（ICASP23），"*Management procedure of ABMS*"（ICASP57）、"*Management procedure of AMS*"（ICASP36）、"*Management procedure of CMS*"（ICASP58） ensure that command files of the latest valid version for responsibilities and tasks of ICAS personnel are delivered to relative personnel.

2.5.2 ICAS认证管理人员、认证活动参与人员的资格 Qualification of personnel in charge of ICAS certification management and personnel participating in certification activities

2.5.2.1ICAS 的认证管理人员应是一组有胜任能力的人员，工作内容包括：受理申请的合同评审，选择审核/检查员和验证其能力，给审核/检查员培训和指导，作出认证决定，制定和运行申诉、投拆和争议处理程序，实施审核/检查程序。《人员资格、聘用、培训及监控程序》（ICASP02）、及《人员能力管理程序》（ICASP12）中为 ICAS 认证管理人员的能力规定了最低的相关准则，以确保评审实施的有效性、一致性。

Personnel in charge of ICAS certification management should be competent and his job includes that dealing with the applied contract review, selecting auditors or inspectors and verifying their competence, training and guiding the auditors, making certification decision, formulating and operating procedure of handling appeals, complaints and disputes and implementing audit or inspect procedure. *Personnel Qualification, Employment, Training and Monitoring Procedure* (ICASP02) and *Personnel Competence Management Procedure* (ICASP12) specify the minimum principles for the personnel in charge of ICAS certification management competence to ensure the validity and conformance of the implementation of review.

2.5.2.2 审核员/产品认证评价人员应满足适用文件的要求

对于管理体系的审核，规定了相应管理体系审核作业指导书以及审核员能力评价准则。其中审核员须满足CCAA 注册要求、认可机构的能力要求，以及及《人员能力管理程序》(ICASP12) 中为 ICAS 审核人员及技术专家的能力规定了 ICAS 最低的相关准则，以确保评审实施的有效性、一致性。技术专家的技术能力不宜低于审核员的技术能力要求。

所有管理体系审核员和履行认证职能的其他人员，还应具有 CNAS 专用认可准则所要求的相应管理体系的特定知识，以及 ICAS 人员管理要求文件 ICASP12 附件（各业务领域审核员能力要求准则）的要求。

产品认证评价人员应满足适用的人员能力管理文件的要求，如《人员资格、聘用、培训及监控程序》（ICASP02）、《人员能力管理程序》（ICASP12）。

Auditors/product certification evaluator shall comply with applicable document requirements.

In terms of management system audit, it specifies relevant operation instruction for management system audit and evaluation principle for auditor's competence. It is said that auditor shall comply with CCAA registration requirements, competence requirements of accreditation organization and minimum competence principles for ICAS auditors and technical experts from *Personnel competence Management Procedure* (ICASP12) to ensure effectiveness and consistency of review implementation. Technical expert's technical competence should be no less than the auditor's.

All auditors of management system and other personnel performing certification functions shall

also have specific knowledge on relative management system required by CNAS specialized accreditation criteria, as well as requirements from management requirements in the ICAS personnel ICASP12 annex (competence criteria of auditor competence for different business areas).

Product certification evaluator shall comply with applicable requirements from personnel competence management document, such as *Personnel Qualification, Employment, Training and Monitoring Procedure* (ICASP02) and *Personnel Competence Management Procedure* (ICASP12).

2.5.3 审核/检查员和技术专家的选择 Choice of auditors/inspectors and technical experts

2.5.3.1 ICAS 建立管理要求，根据所有参与审核和其他认证活动的人员的使用频率及其活动的风险水平来监视他们的能力和表现。尤其应根据人员的表现来复核并记录他们的能力，以识别培训需求。

国家实施认证的知识。如语言，文化，业务环境。为特定认证合同，管理层能确定要以使用的有能力的人员，批准有关确定审核时间的程序。程序文件对审核/检查员及技术专家的选择做出了规定，以确保：

a) 根据能力、培训、资格及经历选择审核员/检查员和需要时选择技术专家 ；

b) ICAS 制定《人员能力管理程序》、《审核员验证管理程序》，确保所有参与审核/检查和认证活动的人员符合要求。通过确定对认证人员的监督方式、频次及其活动的风险水平来监视和衡量他们的表现。初始评价审核员/检查员和技术专家在审核中的能力，随后对其表现进行监督；评价过程应特别关注对 FSMS 认证人员相关的食品安全知识的评价，包括在从事的行业类别内特定的前提方案和相应的食品安全危害；

c) ICAS 制定《审核员验证管理程序》，规定通过现场见证、审核报告复核及客户或市场反馈多种方式相结合，形成对审核员/检查员的定期监督并形成记录；监督方式应使正常认证过程收外界干扰（尤其是从客户角度来看）最小；

d) ICAS 在监视每个审核员时考虑该审核员被认为有能力的每个管理体系类型。规定：对审核员/检查员见证的频次应根据历次见证审核的结果、审核报告的审查、市场反馈而定。对于见证问题比较多的审核员/检查员应增加见证频次，对于优秀的审核员/检查员可以减少见证频次；

ICAS establishes management requirements and supervises the abilities and performances of all personnel who participates in audit and other certification activities based on their usage frequency and risk level of their activities. Especially, their performances shall be re-verified and recorded according to their performances so as to determine the training needs.

The language of national implementation of the certification, such as language, culture and business environment. As for the specific certification agreement, the management should ensure that the procedure determining the audit time should be approved by the competent staff used. Those procedure documents specify the selection of auditor or inspector and technical expertise to ensure that：

a) Choose auditor/inspector based on his/her competence, training, qualification and experience, and choose technical expert when necessary;

b) ICAS prepares 'Personnel Competence Management Procedure' and 'Management Procedure for Auditor Verification' to ensure all personnel who participate in audit/inspection and certification activities are in compliance with the requirements. By determining the supervision methods, frequency and risk level of the activity of certification personnel, ICAS supervise and evaluate their performance. Initial evaluation on the competence shown by auditor/inspector and technical experts in

the audit follows supervision on their performances; evaluation process shall pay special attention to evaluation on FSMS certification personnel's food safety knowledge, including prerequisite programme and relevant food safety hazard in which industry the personnel works in;

c) 'Management Procedure for Auditor Verification' specifies that by combining on-site witness, review of audit report and client or market feedback, regular supervision of auditor/inspector are documented as record; the supervision method shall make the external disturbance minimum during normal certification process (especially from client's view);

d) ICAS shall consider each management system type which it considers auditor to be capable of during supervising each auditor. It specifies that the frequency of witness of the auditors/inspector should be adjusted according to the witness result, audit report and feedback from the market. As for those auditors with many problems found in witness, the frequency should be increased, and vice versa.

2.5.3.2 ICAS 有充足的自控人员进行审核/检查活动，ICAS 管理者管理、控制和负责所有员工的行为表现，并保持完整的记录以证明在特定领域使用的所有员工的能力。确保在审核任务的分配时，执行审核审核的审核小组具有适宜的技能，并满足以下要求：

a) 具有拟审核的行业背景知识，经营管理实务知识，熟悉适用的法律规定，认证程序及认证要求，能够判断拟审核的客户的管理体系的设计及实施是否能确保其相应管理体系所覆盖的产品或服务满足商定要求，及其体系是否能充分满足要求；

b) 具有拟评价产品的行业背景知识，熟悉产品标准、检验要求、该专业项目运用的组织的产品设计、生产、安装和服务过程，熟悉经营管理实务知识，适用的法律规定，认证程序及认证要求，把握影响组织产品质量关键活动，并对其有效性进行评价。具有建立质量管理体系所必需的理论知识和实践活动，并能够结合专业产品特点对组织的质量管理体系实施审核。

c) 对认证将要涉及的专业活动有适当的技术知识，对特殊行业，应能够识别可能导致不可接受的风险的关键程序。审核组就相关特殊行业的背景知识可以通过简要的指导、特定培训或技术专家参加的方式来补充。必要时，ICAS 可以派非审核员/检查员的技术专家协助审核小组进行审核；《人员能力管理程序》（ICASP12）应明确技术专家的能力要求，并在行业组织与专业机构的帮助下更新他们的技术知识能力。

当使用外部审核员和外部技术专家时，ICAS 人事部应要求该人员与 ICAS 签订书面服务协议，以承诺其遵守 ICAS 适用的政策和程序、保密及独立于商业和其他利益的条款。收到审核派遣任务时，审核部应要求外部审核员和外部技术专家反馈其现在或以前与可能派其审核的组织的关系。对聘用为食品安全管理体系技术专家的人员应要求提供健康证明。

d) 具有一定的教育背景及理解能力，足以在客户的认证范围内，对客户提供产品、过程、环境、职业健康安全、信息技术服务管理等的能力进行可信任的评审；

e) 能够有效地运用所要求的语言进行书面及口头交流；

f) 确保审核组/产品认证检查组成员与拟被审核/检查方无任何利益关系，例如：

1) 成员或其所在组织不应向申请人或认证申请组织提供过咨询服务而影响认证过程及决定。

2) 已知的任何违反认证协需要时，成员在评审前应将他们自己或其组织与拟评审客户现在、过去或可预知的关系通知 ICAS。

g）应当遵守与从业相关的法律法规，对认证活动及作出的认证审核报告和认证结论的真实性承担相应的法律责任。

　　ICAS has sufficient staff for audit. Managers of ICAS Management, control and are responsible for all staff' performance, and keep a complete record of verifying the staff competence in specific field. When allocating audit tasks, make sure that the audit team has the proper skills and meets the following requirements:

a) The audit team has the background knowledge of the to-be-planned field and operation and management. The team should be familiar with applicable laws and regulations, certification procedures and requirements. The audit team should also have the ability to judge whether the design and implementation of the client's management system can ensure product or service covered by relevant management system meet the negotiated requirements or not and if the system can fully satisfy the requirements;

b) The audit team has the background knowledge of the to-be-evaluated field, and is familiar with the product standard, survey requirements, and the processes of product designing, manufacturing, installing and serving. And the audit team is also familiar with the management knowledge, applicable laws and regulations, certification procedure and requirements and holds the key activities influencing the organizations' product quality and evaluate efficiently. The team has the indispensable theoretical knowledge and practical activities of establishing QMS and can audit the organizations' QMS integrated with the special product features;

c) The audit team has the proper technical knowledge of the professional activity involved in the certification. As for special industry, the audit team should be able to identify the key procedure that may lead the unacceptable risk. The background knowledge can be supplemented through brief guidance, specific training or the participation of technical expert. If necessary, ICAS can send technical expert not the auditor or inspector to assist the audit team; *Management Procedure of Professional Competence* (ICASP12) should specify the competence requirements of the technical experts and updated their technical knowledge with the help of the organization and professional agency.

When using external auditor and external technical experts, ICAS HR department shall ask the person to sign written service agreement with ICAS to promise he/she would comply policy and procedure applied by ICAS, as well as confidential and other clauses which is independent from business and other interests. When receiving the audit tasks, audit department shall ask external auditor and external technical experts' feedback on the possible current or past relations with the organization he/she audits. Personnel who are employed as food security management system technical experts shall be asked to provide health certificate.

d) The audit team has certain educational background and comprehensive ability. They are able to provide credible audit on the products, process, environment, occupational health and safety, cosmetics company's quality management and services within clients' certification scopes;

e) The audit team can communicate with required language by means of written or oral effectively;

f) It should be guaranteed that members of the audit team/ product certification inspection team have no interest relationship with the auditee/inspected party. For example,

　　1) Members or the organization they belong to should not provide counseling service for the applicants or the clients, which can influence the certification process and certification

decision;

2) If necessary, members of the audit team should inform ICAS their or their organization's present, past or predictable relationship with the auditee.

g) They should comply with the relevant laws and regulations and bear the corresponding legal responsibility for the certification activities and the authenticity of audit report and conclusion.

2.5.3.3 ICAS的程序确保审核组/产品认证检查组满足ICAS针对分配的审核/检查任务而确定的能力的准则要求。程序ICASP03、ICASP20、ICASP24、ICASP27, ICASP57, ICASP36,ICASP58等确保其的实施。

The procedure of ICAS ensures that the audit team/product inspection team meets the competence principle requirements of the assigned audit/inspection task. ICASP03, ICASP20,ICAS24 ,ICASP27,ICASP57, ICASP36,ICASP58 etc. to ensure the implementation.

2.5.3.4 ICAS要求外部审核员和外部技术专家通过书面协议承诺其遵守ICAS的政策并按照ICAS的管理规定实施相关过程。该协议应含有关于保密及公正性的条款，并要求外部审核员和外部技术专家向ICAS说明现在或以前与可能派其审核的组织的关系。

ICAS requires external auditor and external technical experts to promise they would comply with ICAS policy and follow its management regulations to carry out the procedure by written agreement. The agreement shall include clauses about confidentiality and impartiality, and it shall also request external auditor and technical experts explains any possible current or past relations with the organization they audit.

2.5.3.5 审核/产品认证检查组应具备所要求的综合能力以实施拟认证客户的有效审核并应具备能力将客户产品和服务 失效证据追溯到认证标准相关要求。ICAS根据审核/产品认证检查组成员能力恰当地分配任务。如果某个特殊活动的现场审核/检查要求特定的能力，审核/检查组长应依此分配审核/产品认证检查组成员相应的审核/检查任务。

The audit or product certification and inspection team should have the required comprehensive ability to carry out the valid audit and can trace the invalid evidence to the relevant requirements. ICAS assigns audit tasks according to the competence of auditors. If a special on-site audit requires a certain specific competence, the audit leaders should assign the tasks based on their competence.

2.5.3.6 在某些情况下，特别是有重要要求和特殊程序时，审核组的背景知识可通过简要指导、特定培训或技术专家参加的方式来补充。ICAS可派技术专家参加审核组。技术专家在审核组不能承担独立的审核任务并且应在满足ICAS通用能力准则要求的审核员指导下开展工作，并且在工作中与审核员密切合作。

Under certain circumstances, especially have the important requirements and special procedures, background knowledge of the audit team can be supplemented through the brief guidance, specific training or the participation of technical expert. ICAS can send the technical experts to join in the audit team. The technical experts can't undertake the audit task independently and should be guided by the auditor who meets the general competence principles of ICAS and cooperate with the auditor closely.

2.5.3.7 对审核组/产品认证检查组的能力要求适用于初始评定，还适用于监督和再认证。在分配监督任务时，ICAS管理者确保成员具备适当的能力来审核监督所安排的活动，并且理解他们

的审核发现同管理体系的整体运行的联系，或产品检查中的发现与产品认证评定要求之间的联系。

    The competence requirements of the audit team are just for preliminary audit, and it can also be applied to the surveillance audit and recertification. When ICAS assigns the team for the surveillance tasks, the manager should ensure that members of the audit team have the appropriate ability to audit and supervise the task and understand the relation between their audit findings and the overall operation of the management system or findings in checking and requirements of product certification inspection.

2.5.4 ICAS应有获取必要的专业知识与技能的途径，以在机构认证活动所涉及的技术领域、管理体系类型和地域等方面获得与认证直接相关的建议。这些建议可由外部人员或内部人员提供。

    ICAS shall have a way to obtain necessary professional knowledge and skills in order to get advice related to the certification directly regards technical area, type of management system, region and other aspects during certification activities. These advice can be provided by internal or external personnel.

2.5.5 审核/检查人员的聘用 Employment of the auditors/inspectors

    《人员资格、聘用、培训及监控程序》（ICASP02）、中明确规定了所有 ICAS 聘用的审核人员（包括分包机构的审核人员及所聘用的兼职审核人员、技术专家等所有自控审核人员资源）与 ICAS 签署聘用合同或及包含保密和公正性要求的协议，明确审核员应：

a) 保证承诺遵守 ICAS 的规章制度；

b) 保证遵守保密性的规则；

c) 保证与拟被审核方没有任何冲突和利益竞争关系；

d) 保证将与拟认证申请方过去、现在或将来可能的利益关系通知 ICAS。

e) 在被安排进行评价或认证时，声明以前和（或）现在本人或其雇主与如下各方的关系：
    1) 产品的供方或设计方，或
    2) 服务的提供方或开发方，或
    3) 过程的作业方或开发方。

f) 了解的可能导致其本人或 ICAS 发生利益冲突的任何情况。

    ICAS 应根据这些信息，来识别由这类人员或雇用他们的组织的活动引发的公正性风险。

    ICAS 要求所有分包人员满足 CNAS-CC01_2015（ISO/IEC17021-1：2015）、CNAS-CC190：2015、CNAS-SC15:2015 及 IAF MD9、CNAS-CC02：2013、CNAS-CC175：2013 的要求。

    Personnel Qualification, Employment, Training and Monitoring Procedure (ICASP02) specifies clearly that all auditors (including auditors from outsourcing bodies, part-time auditors, technical experts and all self-controlled auditor resource) should sign a copy contract or/and confidentiality and impartiality statement. The contract and confidential and impartiality statement should specify the responsibilities of auditors as follows:

a)   Promise to follow regulatory framework of ICAS;

b)   Promise to abide by confidentiality rules;

c)   Promise to have no interest conflict and competition with the auditee;

d)   Promise to inform ICAS of potential interest relations had, have and will have with the auditee;

e)   When conducting evaluation or certification, he/she shall declare relations between him/her or the employer and the following parties:

        1) External provider or desinger of the product, or
        2) Services provider or developer, or
        3) Process operator or developer.

f) Knowing any situation which may lead to interest conflicts to themselves or to ICAS.

ICAS shall use these information to identify impartiality risks caused by these persons or their employers' activities .

ICAS requires all outsourcing personnel to comply with requirements from CNAS-CC01_2015（ISO/IEC17021-1：2015）, CNAS-CC190: 2015, CNAS-SC15:2015 and IAF MD9、CNAS-CC02：2013、CNAS-CC175：2013.

2.5.6 人员记录 Personnel Record

2.5.6.1 《记录控制程序》（ICASP05）规定对人员的以下最新记录进行控制：

姓名、地址；

所在组织、职位；

教育资历和专业状况；

在ICAS业务范围内每个业务范围的经历和培训；

最近更新记录的日期；

工作绩效监视记录及能力评价；

可能提供过的任何相关咨询服务的记录；

在ICAS内具有的权限；

各项记录应有最新更新日期。

《人员资格、聘用、培训及监控程序》（ICASP02）的执行应产生上述记录。

人员的监督方式为：现场见证和其它方式。

Record Control Procedure (ICASP05) provides the following contents to control the personnel's latest records:

Name, address;

Organization and occupation;

Educational background and profession conditions;

Experience and training in each field within the ICAS business scope;

The date of updating the record;

Performance supervision record and competence evaluation;

Record of any service related to counseling.

Rights and authorities within the ICAS;

All records shall have the latest renewal date.

Implementation of *Personnel Qualification, Employment, Training and Monitoring Procedure* (ICASP02) should produce the above records.

Surveillance of the personnel: on-site witness and other methods.

2.5.7 认证管理及审核实施人员的能力监督和技术能力的保持和提高

《人员资格、聘用、培训及监控程序》（ICAS P02）中明确规定了审核部及技术资源管理部对参与管理和实施审核/检查与认证决定的人员的能力进行监督，并对其能力的保持和提高进行策划。

Certification management and the competence surveillance of audit conducting staff and the maintenance and improvement of technical competence

Personnel Qualification, Employment, Training and Monitoring Procedure (ICASP02) specifies explicitly that the audit department and technical resource management department should conduct surveillance to the personnel who join in the management and implementing the audit/inspection and certification, and make plans to maintain and improve the competence.

2.6 分包 Outsourcing

2.6.1 为确保认证质量及公正性，ICAS原则上不将认证活动分包给其它机构或个人。当需要将与认证有关的工作分包时，应对分包机构提供有关ICAS的认证程序的培训及见证审核，以确保分包机构的审核/评价与ICAS自身的审核/评价具有同样的可信性，并报国家认监委审批，国家认监委批准之后方可执行。应与分包方签订包括保密和利益冲突在内的在法律上具有强制实施力的协议。

对于产品认证服务，其中的评价活动外包给非独立机构（如，客户实验室）时，ICAS应确保对外包方的评价活动得到管理，这种管理的方式能提供可信任的结果，且有记录证实这种信任。

分包方的所有活动由ICAS负责；ICAS要确保提供分包服务的机构及其使用的人员的参与（直接的或通过任何其他雇主）不能影响认证结果的可信性；

ICAS市场部负责保存获得批准的分包服务机构清单；

To ensure the quality and impartiality of certification, in principle, ICAS shall not outsource its certification to another body or individual. When it is necessary, ICAS should provide with the certification procedure training and witness audit for subcontractors to ensure the subcontractors have the same validity with ICAS. Moreover, it should not be implemented until the approval of CNCA and should sign an agreement with enforcement power in law including confidentiality and interest conflict.

In the case of product certification services where evaluation activities are outsourced to a non-independent institution (e.g., customer laboratory), ICAS shall ensure that the evaluation activities of the external contractor are managed in a manner that provides reliable results and documented evidence of such trust.

ICAS is in charge of all activities of subcontractor; ICAS ensures that organization supplying the outsourced services and the staff participating in not affect the credibility of the certified results；

Marketing department of ICAS is responsible for retaining the list of organizations that are approved to provide outsourced services.

2.6.2 ICAS制定分包程序，以保证：

1） ICAS对分包给另一机构的所有活动负责，确保ICAS对分包的项目从合同评审、审核/检查人员资格的确认、审核/评价任务书审批进行控制，并保留授予、拒绝、保持认证，扩大或缩小认证范围，更新、暂停、恢复或撤销认证的决定的职责。

2） 分包的 ICAS 符合 CNAS-CC01_2015(ISO/IEC 17021-1：2015)、CNAS-CC02：2013(ISO/IEC 17065:2012) 的 所 有 要 求 ， 对 于 分 包 机 构 参 与 认 证 的 人 员 要 求 不 得 低 于 CNAS-CC01_2015(ISO/IEC 17021-1：2015)中第 7.2 条、CNAS-CC02：2013(ISO/IEC 17065：2012)中第 6.2 条相关要求，以确保分包活动不会有损 ICAS 活动的公正性；

3） 对提供用于认证活动的分包服务的所有机构的资格、评价和监视都有形成文件的方针、程序和记录；

4） 分包的ICAS及其使用的人员符合ICAS的要求和认证认可准则的适用要求，包括能力、公正性和保密；

5） 分包的ICAS及其使用的人员与拟审核的组织没有可能损害公正性的关系（无论是直接的还是通过任何其他雇主发生的关系）。

6） 对承担认证活动的所有分包机构进行批准和监视，且应确保其参与认证活动的所有人员的能力记录得到保持。

7） 如某一项目的认证活动需按《分包程序》（ICASP09）分包给其它机构执行时，应获得申请认证组织的同意。分包活动前通知组织，以给组织一个提出异议的机会。

8） 当ICAS与分包机构联合审核时，每个ICAS自身都应确保审核过程是由有能力的审核员按照要求实施的。

9） 对于检测，应满足GB/T27025中的适用要求；对于产品检查，应满足GB/T27065中的适用要求；评价活动分包给非独立机构（如，客户实验室）时，ICAS应按分包程序评价该机构，符合要求的予以签订合同，并保留记录。

10） 保存获得批准的分包服务机构清单；

11） 对已知的任何违反认证协议或分包的其他要求的行为采取纠正措施；

ICAS prepares outsource procedure to ensure:

1）ICAS takes responsibility for all activities outsourced to another body to ensure the control of the outsourcing project from contract review, verification of the auditor's qualification and the audit assignment instruction as well as its rights to make the decision on granting, refusing, maintaining certification, or on expanding or reducing the scope of certification, or on renewing, suspending, restoring or withdrawing certification.

2） The outsourcing ICAS meets the requirements of CNAS-CC01_2015(ISO/IEC 17021-1：2015)、CNAS-CC02：2013(ISO/IEC 17065:2012). Staff of the outsourcing certification body involved in the

certification should meet the requirements of clause 7.2 in CNAS-CC01_2015(ISO/IEC 17021-1：2015)and clause 6.2 in CNAS-CC02：2013(ISO/IEC 17065：2012) to ensure that the outsourcing will not undermine impartiality of ICAS；

3） For qualification, evaluation and supervision of the outsourced services of all organizations providing certification activities, there are documentation principle, procedure and record.

4）The outsourced ICAS and its personnel shall comply with the requirements of ICAS and of certification and accreditation criteria, including competence, impartiality and confidentiality;

5）The outsourced ICAS and its personnel shall have no relations which may compromise the impartiality with the organization that is to be audited(either directly or relations via other employer).

6） Conduct approval and supervision of the outsource organization which undertakes certification activities, and ensure the the competence records of all personnel participating in the certification activities are maintained.

7）If the certification of some project should be outsourced to another certification body according to the *"outsourcing Procedure"* （ICASP09）, permission of the client who applies for certification should be acquired. Inform the organization before outsourcing, and provide a chance for organization to raise an objection；

8）When ICAS has a joint audit with the outsourcing body, each certification body should ensure that the certification is carried out by its competent auditor according to the requirements；

9）Detection should meet the requirements of GB/T27025 and product inspection should meet the general requirements of GB/T27065; when assessment activity is outsourced to dependent agency (e.g. client's lab), ICAS should evaluate this agency according to outsourcing producer and sign contact as required and keep the record.

10）Keep the list of approved organizations providing outsourced services;

11） Take corrective actions against any known agreement which breach certification agreement or other outsource requirements;

2.7 内审和管理评审 Internal Audit and Management Review

2.7.1 《内审、管理评审程序》（ICASP07）明确：

1）ICAS管理委员会应定期对ICAS的资源进行评估，确保ICAS应具有资源对已获证方进行监督及再认证，ICAS保证获证组织持续符合其认证时所依据的标准要求。

2）ICAS应有计划、有系统地、定期地对ICAS质量管理体系进行覆盖所有程序的内部审核，确保ICAS的质量管理体系得到有效运行，并符合CNAS-CC01_2015(ISO/IEC 17021-1：2015)、CNAS-CC02：2013、CNAS-CC175：2013以及其它文件规定。该程序确保：

a) 将审核结果通知到被审核区域的责任人员；

b) 及时采取适当的纠正措施；

c) 记录审核结果。

　　Internal Audit and Management Review Procedure (ICASP07) defines that:

1) The Management Committee of ICAS should evaluate ICAS's resources regularly to ensure that it has the resource to implement surveillance and recertification for the external provider with certificate and that guarantees that the organization with certificate continuously meets requirements of the standards for certification；

2）ICAS should carry out an internal audit of QMS that covering all of the procedures in a planned, systematic and regular way to ensure an effective operation of QMS of ICAS, and shall meet the requirements of CNAS-CC01_2015(ISO/IEC 17021-1：2015), CNAS-CC02:2013 and CNAS-CC175:2013 and other documents. This procedure ensures that:

a) Notify the audit result to the person who is in charge of the audited site;

b) Take the proper corrective actions in time;

c) Record the audit results.

2.7.2 《内审、管理评审程序》（ICASP07）中规定管理者按照规定的时间间隔对 ICAS 的质量管理体系进行评审，确保质量管理体系能持续、适宜和有效地满足认可的要求及规定的方针和目标，评审记录应予以保存。管理委员会以及顾问委员会负责监督管理者必须定期进行管理评审的职责。

Internal Audit and Management Review Procedure (ICASP07) defines that manager should review the QMS of ICAS according to the specified interval to ensure that the QMS can continuously, properly and effectively meet the requirements of accreditation and the specified guidelines and objectives. Audit records should be stored. The Management Committee and the Advisory Committee are responsible for supervising the manager carrying out the management review regularly.

2.7.3 内审及管理评审应至少12个月进行一次，但根据内审、管理评审或认可机构的审核结果证明质量管理体系得到有效运行并保持稳定，可减少内审的频次。

Internal audit and management review should be carried out at least one time every 12 months, but the frequency can be reduced if the internal audit, management review or the audit results of the accreditation body show that the QMS is functioning effectively and keeping steady.

2.7.4 当认可机构要求时，ICAS应向认可机构提供内部审核及管理评审记录。

ICAS should provide the records of internal audit and management review to the accreditation body when required.

2.8 文件控制 Control of documents

2.8.1 ICAS 依据 CNAS-CC01_2015（ISO/IEC17021-1；2015）、CNAS-CC190：2015、CNAS-SC15:2013、IAF MD9、CNAS-CC02：2013、CNAS-CC175：2013、CNAS-CC18：2014 等及相关文件建立文件化的体系。文件应具有定期更新、并在有要求时能够提供的（通过出版物，电子媒体或其它手段）以下信息：

1) 作为 ICAS 运作依据的有关其权限的信息；

2) 反映认证制度的管理体系文件。

3) 有关评审和认证过程的信息，在认证流程中给予说明并公开；

4）有关每一产品认证制度的评价程序和认证过程的信息。

5) ICAS 获取财务支持方式的说明，ICAS 的所有者均不从事与认证有关的咨询服务，向申请人和获证组织收取费用的一般信息应在《收费标准》(AP0413)给予说明；

6) 《认证合同》及《认证证书及标志的控制程序》（ICASP08）明确了申请人和获证组织的权利和义务、ICAS 标志标徽的使用及认证资格的宣传方式的要求和限制的说明；

7) 《申诉、投诉、争议处理程序》（ICASP06）向客户说明处理投诉、申诉和争议的程序；

8) 获证组织的名录，包括其客户的名称，相关的规范性文件。该组织获得认证的产品及其供方的名录。地理位置（如国家和城市）或多场所认证范围内总部和所有场所地理位置和获准认证的范围。ICAS 应建立客户数据库，并在网站上给予公告。

ICAS establishes the documented system according to the CNAS-CC01_2015（ISO/IEC17021-1；2015）、CNAS-CC190：2015、CNAS- SC15:2013、IAF MD9、CNAS-CC02：2013、CNAS-CC175：2013、CNAS-CC18：2014 and other relevant documents. The documents should be updated regularly and can provide the following information upon request through publications, media or other methods:

1) Information regarding the limits of authority as the base of ICAS operation;

2) Management system documents reflecting certification system;

3) Information regarding the review and certification process and should be explained during the certification procedure and made public;

4) Information about evaluation procedure and certification process of each product certification system;

5) Explanation of the way of ICAS obtaining the financial support. All the owners of ICAS are not engaged in the counseling service related to certification. *Charge Standard* (AP0413) specifies the charge for the applicants and certified organizations;

6) *Certification Agreement* and *Controlling Procedure of Certificate and mark* (ICASP08) define the right and duty of applicants and certified clients, using of the ICAS mark and explanation for requirements and limitation of propaganda ways of certification qualification.

7）*Appeal, Complaint and Dispute Handling Procedure* (ICASP06) specifies the procedure of handling complaints, appeal and dispute;

8）The name list of certified clients, including the clients' name and relevant normative documents, and certification product and external providers, geographical position (such as country and city) or geographical position of the headquarters and all of the sites in multi-site certification and approved certification scope. ICAS should establish client database and notify the information on the website.

2.8.2 ICAS 建立《文件控制程序》（ICASP04），以保持所有与认证职能有关的文件和资料得到控制。该程序确保：

1) 初次起草、补充或更改受控文件时，应由具备能力或适当授权的人员对其充分性进行评审和

批准后，方可使用；

2) 应对上述文件以及外来文件的分发加以控制，确保 ICAS 的人员在执行认证活动时、申请方或供方在需要时能够得到相关文件；

3) 保留一份标有发布状态和/或修订状态的所有适用文件的清单；

4) 当文件的变更涉及认证体系的变更时，必须征得顾问委员会的同意后对认证体系进行变更。

5）确保文件保持清晰并易于识别；

6) 防止作废文件的非预期使用，并在因故保留作废文件时，对其做出适当的标识。

ICAS establishes the *Document Control Procedure* (ICASP04) to ensure that all the documents and materials related to certification are under control. This procedure ensures that:

1) When drafting, supplementing or changing the controlled documents for the first time, document shall not be used before its adequacy is reviewed and approved by capable or authorized personnel;

2) The distribution of above document and document of external origin shall be under control to ensure when ICAS personnel is conducting certification, relevant document is available to the applicant or provider when necessary;

3) Keep a list of all the applicable documents marked with release status and/ or revision status;

4) If document change involves change of certification system, certification system can only be changed after approval from advisory committee is granted.

5) Make sure document is clear enough for identification;

6) Avoid unexpected use of the obsoleted document, and make appropriate mark on it when obsoleted document is to be maintained due to certain reason.

2.9 记录管理 Record Management

2.9.1 ICAS 建立《记录控制程序》（ICASP05）并保持记录制度，以适应认证过程要求及符合现行法规的要求。该程序规定受控记录。为了确保过程的完整性和信息的保密性，该程序应对记录的识别、贮存、保护、检索和处置作出规定。该程序应明确相关记录应保存的时间，保存的时间应为当前认证周期加上一个完整的认证周期或在法律要求的时间内证实其持续可信。

ICAS establishes *Record Control Procedure* (ICASP05) and keeps the record system to comply with requirements for certification process and current regulations. This procedure specifies controlled record. To ensure the completeness of the procedure and confidentiality of the information, this procedure should specify rules for identifying, storing, protecting, searching and disposing record. This procedure should define the retaining time of relevant record which shall be sum of the current certification cycle and a complete certification cycle, or it shall be proven to be continuously valid within the time period required by law.

2.9.2 《记录控制程序》（ICASP05）中明确应按合同、法律和其他义务要求，在一段时间内所有可能接触到记录的人员都必须对其获得的有关客户的信息保密。

Record Control Procedure (ICASP05) specifies that according to requirements by the agreement,

law and other obligations, any personnel who may have contact with the record shall keep client's information confidential within a certain period of time.

2.10 保密 Confidentiality

2.10.1 ICAS 与员工及任何可能获得 ICAS 活动保密信息的人员（例如：代表 ICAS 工作的各种委员会、分包机构、外部审核员、外部技术专家或个人）签署书面合同、协议或保密声明等承诺其遵守 ICAS 的管理政策并按照 ICAS 要求实施相关过程。该协议应含有关于保密及公正性的条款，以保证组织内的各级人员在认证活动过程中所获得的关于客户的信息保密。

同时对分包人员也要求对这些信息保密，并在分包合同中特别要求对他们的同事和他们的其他雇主保守秘密。

文件《人员资格、聘用、培训及监控程序》（ICASP02）并确保上述活动的实施。

ICAS signs written contract, agreement or confidentiality statement etc. to promise that it will comply with ICAS management policy and implement relative process as required by ICAS requirements. This agreement shall include clauses related to the confidentiality and impartiality to ensure that staff of all levels keep the information obtained confidential during the certification.

Meanwhile the subcontractors are also required to keep the information confidentiality, especially to their colleagues and other employers, which should be pointed out specifically in the outsource.

Personnel Qualification, Employment, Training and Monitoring Procedure (ICASP02) guarantees the implementation of the above activities.

2.10.2 公司官方网站上发布通知提前告知客户对公众公开的信息。除此以外所有其他信息均应视为保密信息，包括从其他来源（如投诉人、监管机构）获得的关于客户的信息（客户自己公开的信息除外）。ICAS 如向其他机构（如认可机构、建立在同行评审基础上的协议集团）公开保密信息时，应由客服人员将这一行动通知其客户。

ICAS publicizes notice on its official website to inform the client in advance of the information that is publicized to the public. Apart from this, all information shall be considered confidential which includes the information of client (except for information disclosured by client itself) obtained from other resources （e.g. complainant and supervision body）. If ICAS disclosures confidential information to other organization (e.g. accreditation organization, agreement group based on the peer review), service staff shall inform it to its client.

2.10.3 除 ICAS 要求的有关保密信息之外,有关特定产品或客户的信息在没有客户书面同意（仅适用于保密信息）的情况下不应透露给第三方。但以下信息除外：

a) 法律部门或认可委要求的信息；

b) 客户公开的信息。

当法律要求将信息提供给第三方时，ICAS 应将法律所要求提供的信息通知客户。

Besides the confidential information required by ICAS, information concerning specific products or clients should not be disclosed to the third-party without written consent of the clients (only applied to confidential information). In addition to the following information:

a)   Information required by legal departments or CNAS;

b)   Information publicized by client；

When the information is provided to the third-party according to the laws, ICAS should inform the clients of it.

2.10.4 ICAS 人事部、注册部门负责确保这些保密信息的存放、处理的设备设施正常有效运转，安全处理设备由信息中心负责维护。

ICAS certification HR department, registration department are responsible for the effective operation of the equipment and facilities used to keep and process such confidential information. Information centre is responsible for the maintenance of safety processing equipment.

2.11 评价的资源 Resources for evaluation

2.11.1 内部资源 Internal resources

ICAS 进行评价活动时，无论使用内部资源还是其直接控制的其它资源，均应满足相关标准和认证方案中规定的其他文件的适用要求。检测活动应满足 GB/T27025 中的适用要求；检验活动应满足 GB/T27020 中的适用要求；管理体系审核活动应满足 GB/T27021 中的适用要求。

对评价人员公正性的要求应满足相关标准要求。

When ICAS is conducting evaluation activities, internal resources or other resources it directly controls shall both meet the relevant standard and applicable requirements of other documents specified in the certification scheme. The testing activities shall meet the applicable requirements of GB/T27025; testing activities shall meet the applicable requirements of GB/T27020; management system audit activities shall meet the applicable requirements of GB/T27021.

Impartiality requirements of evaluation personnel shall comply with relevant standards and requirements.

2.11.2 外部资源（分包）External resources (outsourcing）

ICAS 只将评价活动分包给那些满足相关标准和认证方案中规定的其他文件的适用要求的机构。

ICAS 制定分包管理程序，对外部资源进行管理控制，见 2.6.

ICAS only outsources evaluation activities to those organizations which meet relevant standards and requirements of other documents specified in the certification scheme.

ICAS prepares management procedure for outsource in order to conduct management control of external resources, see 2.6.

2.12 基于风险的方法 **Risk-based approach**

2.12.1 ICAS 在认证活动策划及实施过程中，考虑与提供有能力的、一致的和公正的认证相关的风险，形成风险识别分析文件，每年进行评审。风险可能与下列方面有关（包括但不限于）：

- 审核目的；

- 审核过程中的抽样；

- 真正的和被感知到的公正性；

- 法律法规问题和责任问题；

- 所审核的客户组织及其运行环境；

- 审核对客户及其活动的影响；

- 审核组的健康和安全；

- 利益相关方的认知；

- 获证客户做出的误导性声明；

- 标志的使用。.

ICAS shall take into account the risks associated with providing competent, consistent and impartial certification when planning for certification activities and implementing process, and which shall then be documented as risk identification and analysis material. Review shall be carried out on a yearly basis. Risks may include, but are not limited to, those associated with:

- the objectives of the audit;

- the sampling used in the audit process;

- real and perceived impartiality;

- legal, regulatory and liability issues;

- the client organization being audited and its operating environment;

- impact of the audit on the client and its activities;

- safety and health of the audit teams;

- perception of interested parties;

- misleading statements made by certified client;

- use of the mark.

2.12.2 ICAS 对于具体认证过程的风险识别，风险评价、风险管理及风险控制措施等，参见 ICASP18《认证风险识别与管理程序》

　　For risk identification, risk assessment, risk management and risk control measures for the specific certification process in ICAS, see ICASP18 Certification Risk Identification and Management Procedure for detail.

3. 认证制度管理 Management of Certification System

3.1 认证过程和要求的信息 Certification Process and Information Required

ICAS通过官方网站、宣传材料等方式向所运营的所有地理区域中的客户提供并为其更新以下信息：

1) 认证申请、初次审核、监督审核和授予、拒绝、保持、更新、暂停、恢复或撤销认证或者扩大或缩小认证范围以及再认证的过程等整个认证审核活动的说明；

2) 认证业务范围类型、认证依据的标准、认证方案等规范性要求；

3) 认证费用，包括申请、初次认证和保持认证资格所需费用；

4) 对拟接受审核/评价的客户的要求，包括：

　　a) 遵守认证要求；

　　b) 为实施审核做出所有必要的安排，包括在初次认证、监督、再认证和解决投诉时，为检查文件和接触所有过程与区域、记录及人员提供条件；

　　c) 待评价的产品应符合特定标准和ICAS规范性文件中的要求；

　　d) 适用时，为接纳到场的观察员（如认可评审员或实习审核员）提供条件。

5) 对获证客户在引用认证资格时的权利和责任（包括要求）予以说明的文件；

6) ICAS的名称和认证标志或徽标的使用；

7) 投诉和申诉处理程序的信息；

8) 公正性方针。

ICAS管理委员会制定专门人员对产品认证的认证方案等文件内容进行解释。如果客户有如下请求时，有指定的专人提供解释，信息应准确且不使人产生误解：

a) 其运作涉及的地理区域；

b) 特定认证的状态；

c) 特定获证客户的名称、相关的规范性文件、认证范围和地理位置（国家和城市）。

从事HACCP认证时，ICAS应对产品安全性验证活动做出规定，以验证食品安全危害水平在确定的可接受水平之内，组织建立的HACCP计划、前提计划得以实施且有效运行。

ICAS provides and updates the following information through official website, promoting materials and other methods for client in all operational regions:

1.) Explanation on the certification application, initial audit, surveillance audit and complete certification audit activities such as granting, refusing, maintaining, renewing, suspending, restoring or withdrawing certification, or on expanding or reducing the scope of certification and recertification etc.

2.) Types of certification scope, basis of certification gist, certification scheme and other normative requirements;

3.) Certification fee which includes fees for application, initial certification and maintaining certification qualification;

4.) The requirements for client that is to be audited/evaluated includes:

a) Compliance with certification requirements

b) Necessary arrangements for audit implementation, including providing conditions for document check and all process and region, record as well as personnel during initial certification, surveillance, recertification and dealing with appeals;

c) The product to be evaluated shall comply with specific standards and requirements of ICAS normative documents;

d) Provide conditions for on-site observers (such as accreditation reviewer or auditor-in-training) when applicable.

5. Document that explains the authority and responsibility (including requirements) when the certified client is referencing certification qualification;

6. The use of ICAS name and certification mark or mark;

7. Information of dealing procedure of appeals and complaints;

8. Impartiality policy.

ICAS Management Committee assigns special person to explain for the certification plan of product certification and other documents. If the client has the following requests, there are special person to provide explanation and information will be accurate not misleading:

a) geographic region of its operation;

b) specific certification status;

c) Name of specific certified client, relevant normative documents, certification scope and geographic position (nation and city).

When conducting HACCP certification, ICAS shall make regulations on the verification activities of product safety to verify that food safety risk level is within the acceptable range, therefore the established HACCP plan, prerequisite programme will be carried out and operated effectively.

3.2 认证文件 Certification Document

3.2.1 ICAS 通常以文本方式向获证客户提供认证文件。ICAS generally provides certification documents for the client in text format.

3.2.2 ICAS 颁发的认证文件应标明：
a) 每个获证客户的名称和地理位置（或多场所认证范围内总部和所有场所的地理位置）；
b) 授予认证、扩大或缩小认证范围、更新认证的生效日期，生效日期不应早于相关认证决定的日期；
c) 认证有效期或与认证周期一致的应进行再认证的日期；
d) 唯一的证书编号；

e)   审核获证客户时所用的管理体系标准和（或）其他规范性文件，包括发布状态的标示（例如修订时间或编号）；

f)   与活动、产品和服务类型等相关的认证范围，适用时，包括每个场所相应的认证范围，且没有误导或歧义；

g)   能源绩效（一般包含本年度产品单位产量、单位产值综合能耗或单位增加值综合能耗）及能源管理体系边界的表述；（能源管理体系适用，并参考相应的作业指导书）

h)   ICAS的名称、地址和认证标志；可以使用其他标识（如认可标识、客户的徽标），但不能产生误导或含混不清；

i)   认证用标准和（或）其他规范性文件所要求的任何其他信息；

j)   在颁发经过修改的认证文件时，区分新文件与任何已作废文件的方法。

k)   如果组织在认证范围内根本没有在规定的物理地点进行任何活动,则认证文件上要声明"组织的所有活动都是远程进行"（信息安全管理体系适用）。

The certification document issued by ICAS shall mark the following:

a) Name and geographic location of each certified client(or the head office within the multi-site certification scope and geographic location of all sites);

b) Granting certification, expanding or reducing certification scope, updating the effective date of the certification, and the effective date shall be no earlier than the relevant certification decision date.

c) The effective date of the certification and the date for recertification which is consistent with the certification cycle;

d) The unique identification number;

e) The management system standard and (or) other normative document used when auditing the certified client, including identification of the publishing status(e.g. revision date or number);

f) Certification scope which is relevant to the activity, products and services categories etc., if applicable, certification scope in relation to each site without misleading or ambiguity;

g) Description of energy performance(generally including annual energy consumption per unit output amount and per unit output value, or energy consumption per added-value) and energy management system boundary (applicable to EnMS) ;

h) Name, address and certification mark of ICAS; other marks(such as accreditation symbol and client's mark) may be used provided there won't cause any misleading or ambiguity;

i) Any other information required by the standard used by the certification and (or) by other normative documents;

j) When issuing the changed certification documents, the method used for distinguishing new document from any obsoleted documents.

k) Where no activity of the organization within the scope of the certification is undertaken ata defined physical location at all, the certification document(s) shall state that 'all activities of the organization are conducted remotely'(applicable to ISMS).

3.2.3 ICAS 制定《认证证书及标志的控制程序》（ICASP08）及《ICAS 管理体系认证证书及其认证标志的使用规则》，对其授权获证客户使用的任何管理体系认证标志进行规定。

ICAS prepares 'Control Procedure of Certification Certificate and Mark'(ICASP08) and 'Use Guidelines for ICAS Management System Certification Certificate and Its Certification mark' which specifies the use of any management system certification mark by client certified and authorized by ICAS.

3.3 认证证书的转换和互认 Transfer and Mutual Recognition of the Certification Certificate

持有基于CNAS所认可的有效的认证证书的组织，按照《已认可的管理体系认证的转换程序》规定的流程，可以向ICAS申请转换为ICAS证书，经评审符合规定要求后，颁发带认可标志的ICAS的认证证书。

Organization with valid certificate accredited by CNAS can apply for transition to ICAS Certificate in accordance with "*Transfer Procedure for Accredited Management System Certification*". Once the conformity to the provisions has been audited, a certificate with ICAS certification mark could be issued.

详见《已认可的管理体系认证的转换程序》（ICASP01）。

See "*Transfer Procedure for Accredited Management System Certification*" (ICASP01).

3.4 获证客户的变更 Changes by a Certified Client

3.4.1 ICAS 于认证合同中要求申请认证组织及时通报对管理体系、相关产品拟实施的更改或其他可能影响其符合性的更改。并制定《认证授予、拒绝、保持、变更、暂停、恢复、撤销程序》（ICASP11），以告知获证客户及时将可能影响管理体系持续满足认证标准要求的能力的事宜通知 ICAS，包括（但不限于）与下列方面有关的变更：

a) 法律地位、经营状况、组织状态或所有权；

b) 组织和管理层（如关键的管理、决策或技术人员）；

c) 联系地址和场所；

d) 获证管理体系覆盖的运作范围；

e) 管理体系和过程的重大变更；

f）客户及相关方有重大投诉；

g）生产、销售的产品或提供的服务被质量或市场监管部门认定不合格；

h）发生产品或服务的质量安全事故；

i）当发生严重事件或违法情况并导致监管机构介入调查时；

ICAS requires the organization applying for certification to inform timely the planned change to the management system and the relevant products or any other changes that may influence its conformity in the certification agreement. "Procedure for Granting, Refusing, Maintaining, Changing, Suspending, Restoring and Withdrawing of Certification " (ICASP11) is prepared to notify certified client to inform ICAS without undue delay any matters with respect to competence which may prevent the management system from continuously meeting the requirements of certification standard, including (but not limited to) changes with respect to:

a) the legal, commercial, organizational status or ownership;

b) organization and management level (e.g. key managerial, decision-making or technical staff)

c) contact address and sites;

d) scope of operations under the certified management system;

e) major changes to management system and processes;

f) significant complaints from client and interested parties;

g) products produced and sold or services provided are considered non-conforming by quality or market supervision department;

h) occurred quality safety accident of products or services.

i) when a serious incident or violation occurs and leads to the intervention of the regulator.

3.4.2 ICAS 在《认证授予、拒绝、保持、变更、暂停、恢复、撤销程序》（ICASP11）中规定授予、拒绝、保持、变更认证的条件，以及全部或部分暂停或撤销客户认证范围的条件；ICAS 必须对证书授予、保持、扩大、缩小、暂停、恢复和撤消的决定负责，参见《认证授予、拒绝、保持、变更、暂停、恢复、撤销程序》（ICASP11）及《认证证书及标志的控制程序》（ICASP08）。In the "Procedure for Granting, Refusing, Maintaining, Changing, Suspending, Restoring and Withdrawing Certification" (ICASP11), ICAS specifies the conditions for granting, refusing, maintaining, changing certification, and whole or part of conditions for suspending or withdrawing client's scope of certification. ICAS shall be responsible for the decisions on granting, maintaining, expanding, reducing, suspending, restoring and withdrawing certification. Please refer to "Procedure for Granting, Refusing, Maintaining, Changing, Suspending, Restoring and Withdrawing Certification" (ICASP11) and "Controlling Procedure of Certificate and Mark"（ICASP08）.

3.4.3 《认证授予、拒绝、保持、变更、暂停、恢复、撤销程序》（ICASP11）指导认证相关人员进行以下活动：

a) 授予、拒绝、保持、变更、暂停、恢复、撤销认证注册资格；

b) 认证范围的变更（扩大或缩小）；

c) 对投诉的分析、其它信息表明获证客户不再满足认证标准要求的要求时，要对获证客户进行重新评价或审核。

d) 发生以下情况（但不限于）时，ICAS 将暂停获证客户的认证资格：

——客户的获证管理体系持续地或严重地不满足认证要求，包括对管理体系有效性的要求；

——获证客户不允许按要求的频次实施监督或再认证审核；

——获证客户主动请求暂停；

——获证客户被有关执法监管部门责令停业整顿；

——获证客户持有的与质量管理体系范围有关的行政许可证明、资质证书、强制性认证证书等过期失效，重新提交的申请已被受理但尚未换证。

e）当监督或其他活动的结果证实存在不满足认证要求的不符合时，ICAS 将考虑并确定适宜的

措施，包括：

——在 ICAS 规定的条件（如：增加监督）下保持认证 ；

——缩小认证范围以剔除不符合的产品类别；

——在客户采取补救措施前暂停认证；

——撤销认证。

这些措施可能结合评价、复核和认证决定过程进行，此时必须满足相应的要求。

"Procedure for Granting, Refusing, Maintaining, Changing, Suspending, Restoring and Withdrawing Certification" (ICASP11) guides relevant certification personnel to conduct the following activities:

a) Granting, refusing, maintaining, changing, suspending, restoring and withdrawing certification registration qualification;

b) Changing of certification scope (expanding or reducing);

c) Analysis of complaints and other information shows that certified client no longer meets the requirements for certification standard, certified client is required to go through re-evaluation or audit.

d）ICAS would suspend the certification qualification of the certified client if (not limited to) the following situation happens:

—— the client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system;

—— the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies;

—— the certified client has voluntarily requested a suspension.

——Certified client is ordered to stop operation for rectification by law enforcement and supervision department;

——Administrative licensing evidence, qualification certificate, compulsory certification certificate with respect to quality management system scope hold by certified client are expired, and new application has been accepted but certificate has not changed.

e) If the result of surveillance or other activities is proven not satisfied with certification requirements, ICAS shall consider and confirm the appropriate actions, which includes:

——Maintain certification under the conditions specified by ICAS (e.g. adding surveillance);

——reduce certification scope so as to eliminate the non-conforming product types;

——suspend the certification before client taking remedy action;

——withdraw the certification;

These actions could be carried out in conjunction with evaluation, review and certification decision, and they shall comply with relevant requirements.

3.4.4 如果恢复认证的条件是做出缩小认证范围的决定，ICAS 应对正式的认证文件、公布的信

息、标志使用的授权等进行所有必要的修改，以确保缩小的认证范围被清楚地传达到客户，并在认证文件和公布的信息中清晰地描述。

In case that the condition for restoring certification is to make decision on reducing the certification scope, ICAS shall make necessary changes to formal certification document, published information and authorization of the mark use etc. to ensure that the reduced scope would be clearly delivered to the client and be well described in the certification document and publicized information.

3.4.5 ICAS 在《认证授予、拒绝、保持、变更、暂停、恢复、撤销程序》（ICASP11）中明确了认证资格终止、暂停或撤消后的后续措施；ICAS 在网上公布被暂停或撤消认证的组织，并使其可公开获取，或在有请求时提供目录，但必须修改公开的客户名录。并立即要求被暂停及撤销客户停止涉及认证内容的广告，并按 ICAS 的要求交回所有认证文件。该程序文件也应规定为结束暂停和恢复认证所需采取的措施。

ICAS defines the follow-up actions after the termination, suspension or withdrawal of certification qualification in "Procedure for Granting, Refusing, Maintaining, Changing, Suspending, Restoring and Withdrawing Certification" (ICASP11) and puts the organizations whose certification has been suspended or withdrawn on the internet, and makes them available or provides catalogue upon request yet a modification must be made to the open list of the clients. Clients with suspension and withdrawal of certificate are requested immediately to stop the advertisements concerning certification and give back all the certification documents. This procedure document shall also specify the required actions for terminating suspension and restoring certification.

3.5 认证要求的变更 Changes to the Certification Requirements

当认证要求如认证依据的标准、认可规范准则等发生变更时，ICAS 应确保及时将拟更改的认证要求通知各有关方面，且在变更的方式和生效日之前应考虑有关利益各方的意见。变更决定发布后，ICAS 应给予客户合理的时间根据要求更新其管理体系，并验证每个获证客户/每一供方在 ICAS 认为合理的时间内,是否对其程序实施了必要的调整。

应考虑其他对认证有影响的变更，包括由客户引发的变更，并决定采取适宜的措施。

有要求时，对实施影响认证的变更所采取的适宜的措施应包括：评价、复核、决定、颁发修订后的正式认证文件以扩大或缩小认证范围、颁发修订后监督活动的认证文件。并适当记录。如要简化记录，应由简化的理由。

When there is a change to the certification requirements such as standard of certification basis, accreditation standard criteria etc., ICAS shall ensure that interested parties are promptly informed of the to-be-changed certification requirements, and that advice of the interested parties should be considered before the change comes into force. After issuing the change notice, ICAS shall allow sufficient time for client to renew its management system and verify if every certified client/supplier has made adjustment to their procedures within reasonable time.

Other changes which may effect the certification shall be taken into consideration as well, including changes made by the client, and appropriate actions shall be taken.

When required, appropriate actions taken against the changes which may affect the certification shall include: evaluation, review, decision, issuing formal certification document after revision in

order to expand or reduce certification scope, issuing certification document of surveillance activities after revision. Records shall be taken properly. If the record is to be simplified, there shall be reasons for doing so.

4. 认证过程管理 Management of Certification Process

4.1 认证前的活动 Activities Prior to the Certification

4.1.1 申请 Application

4.1.1.1 各管理体系认证管理规则及程序均明确，应确保申请人提交一份正式填好的并由其正式授权的代表签署的申请书，申请书应至少包括：

1）申请人名称、地址；

2）申请认证的范围及活动；拟认证的产品；

3）拟申请的认证标准或其它规范性文件、要求；

4）特定认证方案所要求的申请组织的相关详细情况，包括法人实体名称、场所地址和法律地位；过程和运作的重要方面、人力与技术资源，职能、关系以及任何相关的法律义务；必要时还需提供实验室和/或检查设施等；

5）申请认证产品的界定、认证制度和每种产品认证所依据的标准（产品认证适用）；

6）客户使用的对要求符合性有影响的所有有关的外部提供过程的信息；

7）接受与管理体系有关的咨询的情况；

8）所需的所有其他信息，诸如初始评价和监督活动的信息，如：认证的产品的生产地点，这些地点的联系人等；

9）申请人同意遵守认证要求，并提供评价拟认证产品或提供评审所需要的信息的声明。

　　FSMS/HACCP 认证申请时，要求申请组织提供有关加工生产线、季节性生产、HACCP 项目和班次的详细信息，以及以下必要信息：

（1）取得国家、地方市场监督管理部门或有关机构注册登记的法人资格（或其组成部分）；

（2）取得相关法规规定的行政许可文件（适用时）；

（3）产品标准符合《中华人民共和国标准化法》规定；

（4）生产经营的产品符合中华人民共和国相关法律、法规、食品安全标准和有关技术规范的要求；

（5）按照适用的危害分析与关键控制点（HACCP）体系和食品安全管理体系（FSMS）实施规则规定的认证依据，建立和实施了文件化的管理程序，且体系有效运行 3 个月以上。

　　Regulations and procedures of each management system certification management shall specify that applicant shall submit one copy of application formally filled and authorized by the applicant, the application shall include:

1）Name and address of the applicant;

2）Scope and activities to be certified; products to be certified;

3）The to-be-applied certification standard or other normative documents and requirements;

4) Detailed information of the applicants required by the specific certification scheme, including legal entity, site address and legal status; key aspects of process and operation, human and technology resources, function, relations and any other legal obligations; laboratory and/or examination instruments etc. shall be provided when necessary;

5）Defining of products applied for certification, certification system and criteria basis of each product's certification;

6) Information regarding external provision used by client which may have an impact on the requirements conformity

7) Acceptance of information about management system counseling;

8) Other information required such as information of initial evaluation and surveillance, e.g.: production-site of the certified product and contact person of these sites etc.;

9) The applicant agrees to meet the certification requirements and provides declaration of necessary information for evaluation of products to be certified or for review.

When applying for FSMS/HACCP certifications, applicants shall be asked to provide detailed information about production line, seasonal production, HACCP project and shifts, as well as the following information:

（1）Legal personality (or its components) registered with the State, local market regulatory authorities or relevant institutions;

（2）acquire administrative and license files specified by relevant statutory and regulatory requirements(if applicable);

（3）Product standard complies with regulations from *STANDARDIZATION LAW OF THE PEOPLE'S REPUBLIC OF CHINA；*

（4）Manufactured product complies with requirements of relevant laws, regulations, food safety standard and related technical regulations of *THE PEOPLE'S REPUBLIC OF CHINA*；

（5）In accordance with the applicable Hazard Analysis and Critical Control Point (HACCP) system and Food Safety Management System (FSMS) implementation rules of the certification basis, the establishment and implementation of documented management procedures, and the effective operation of the system for more than 3 months.

4.1.1.2 在评审之前，申请人至少应提供下列信息：

a) 有关管理体系及其覆盖的活动的一般信息；

b) 与管理体系有关的文件化信息的副本。

The applicant should at least provide the following information prior to the on-site audit：

a) General information about the management system and activity it covers;

b) Copies of documentation information related to management system.

4.1.2 申请评审 Applying for Review

4.1.2.1 ICAS 应对所获得的信息（申请书内容）进行评审以确保：

a) 认证过程所需的客户信息和产品信息是充分的，足以建立审核方案；

b) ICAS 和客户之间任何已知的理解上的分歧已经得到解决，包括在相关标准或规范性文件方面达成一致；

c) ICAS 有能力并能够实施认证活动；

确定 FSMS 管理体系认证范围时，不应将能够影响认证范围内终产品食品安全的活动、过程、产品或服务排除在认证范围之外。

d) 实施所有评价活动的方法是可行的；

e) 考虑了申请的认证范围、申请组织的运作场所、完成审核需要的时间和任何其他影响认证活动的因素（语言、安全条件、对公正性的威胁等）；

f）确定审核组及进行认证决定需要具备的能力

g）对于 HACCP 认证项目应根据企业的规模、生产过程和产品的安全风险程度等因素，对认证全过程进行策划，制定审核方案。

必要时，为了解受审核方是否已具备实施认证审核的条件，可安排进行预访问。

 ICAS shall review the acquired information(application form) to ensure that:

a) client and product information required by certification process are adequate enough to establish audit programme;

b) Any known dispute in comprehension between ICAS and client has been settled and the two parts have reached an agreement on relevant standards or normative documents;

c) ICAS has the competence and is able to implement certification activities;

When determining certification scope of the FSMS management system, it shall not exclude activities, process, product or service that can affect the food safety of end products within the scope of certification should not be excluded from the scope of certification.

d) Methods of implementing all the certification activities are feasible;

e) Taken into consideration the applied certification scope, operational sites of applicants, time needed for completing the audit and any other factors which may affect the certification activities (language, safety conditions, threats to the impartiality etc.);

f) Determining audit team and its competence required for making audit decision

g）For HACCP certification project, it shall make the plan of the whole process and prepare audit programme according to factors such as the size of the enterprises, production process and safety and risk level of the product.

When necessary, pre-visit can be organized to check if auditee has met requirements for implementing the certification audit.

4.1.2.2 当客户的认证要求涉及以下内容，而 ICAS 又无先例时，ICAS 将对这类认证项目制定特定的作业指导文件，以便建立合适的过程予以识别和开展认证工作：

——产品的类型，或

——规范性文件，或

——认证方案.

注：当对某产品的相关要求、特性和技术的掌握足以理解另一产品的要求、特性和技术时，可视它们为同一类产品。

在这些情况下，ICAS 应确保其具有能力实施要求其进行的所有认证活动，同时应保存对决定开展认证的理由的记录。

Where the client's certification requirements relate to the following content and ICAS certification has no previous example to follow, ICAS certification will develop specific operational guidelines for such certification programs in order to establish appropriate processes for identification and certification:

—Type of product, or

—Normative documents, or

—certification scheme.

Note: When the related requirements, characteristics, techniques of certain product are mastered sufficiently that these qualities of another product could be mastered, the two products can be considered in the same class.

In these cases, the certification body shall ensure to be capable of implementing all the activities required while keep a record of the reason why implementing the certification.

4.1.2.3 ICAS 在《认证授予、拒绝、保持、变更、暂停、恢复、撤销程序》（ICASP11）中明确，当基于申请评审的结果拒绝认证申请；或经判定认为 ICAS 缺乏能力开展需要其进行的认证活动，ICAS 应婉拒开展这一特定的认证；且应记录拒绝申请的原因并使客户清楚拒绝的原因。

In the "Procedure for Granting, Refusing, Maintaining, Changing, Suspending, Restoring and Withdrawing Certification" (ICASP11), ICAS specifies that results based on the application review refuses certification application; or ICAS is judged as incompetent to conduct required certification activities, ICAS shall refuse to conduct this specified certification and record the reason for refusing to   inform the client.

4.1.2.4 如果 ICAS 根据其已经批准的该客户或其他客户的认证结果省略任何活动，ICAS 应把对已有的认证结果的引用保存在记录中。如客户要求，ICAS 应提供省略这些活动的理由。

If ICAS leaves out any activities based on the certification result of its approved client or other client, ICAS shall keep in the record the already existing certification result. ICAS shall provide reasons for leaving out these activities if required by client.

4.1.3 签订合同 Signing Agreement

4.1.3.1 ICAS应在认证合同中至少包含下述内容：

a)客户获得认证后持续有效运行其管理体系的承诺。

b)客户对遵守认证认可相关法律法规，协助认证监管部门的监督检查，对有关事项的询问和调查如实提供相关材料和信息的承诺。

c) 如果客户的认证适用于持续生产，则获证产品应持续满足产品要求；

d) 客户为下列事项做出必要的安排：

1）实施评价和监督审核，包括审查文件和记录，询问相关设备、场所、区域、人员及客户的分包方；

2）投诉的调查；

3）适用时，观察员参与。

e) 客户有关认证的声明与认证范围一致；

f) 为进行审核/检查作出全部必要的安排，包括为进行初次审核、监督、再认证和解决投诉而准备；

g) 待审查的文件、开放所有区域、提供记录（包括内部审核报告）和准备相应的人员；

h) 仅就获准认证的范围做宣传；

i) 在宣传认证结果时不应损害 ICAS 的声誉；不应做使 ICAS 认为误导或未授权的声明；

j) 当接到暂停或撤销认证通知时(不论如何决定的)，应立即停止涉及认证内容的广告，并   按 ICAS 的要求交回所有认证文件；

k) 认证只能用来证明其管理体系符合了特定标准或其它规范性文件，不能用认证来暗示其产品或服务得到了 ICAS 的批准；

l) 确保不采取误导的方式使用或部分使用认证文件、标志或报告；

m) 在传播媒体中（例如文件、小册子或广告）对认证内容的引用，应符合 ICAS 的要求；具有程序，以保证向 ICAS 提供最新的信息。

n) 要求客户始终满足认证要求，包括当收到 ICAS 的通知时做出适当的变更；

ICAS shall at least include following contents in the certification agreement：

a) clients can get the commitments of operate the management system effectively and continuously after certified.

b) clients comply with the relevant laws and regulations, assist Certification Supervision Department to check and provide information and make commitment on the inquiry and investigation about relevant issues.

c) If certification applies for continual production, the certified products should continuously meet the products requirements;

d) client shall make necessary arrangement for the following items：

1）To implement evaluation and supervision audit including reviewing documents and records, asking for related equipment, sites, areas, personnel and client's sub-contractor;

2）Investigation of complaints;

3）Observer shall participate when applicable.

e) client's declaration about certification conforms to the certification scope;

f) Making all the necessary arrangements for audit/inspection, including preparing for initial audit, surveillance, recertification and dealing with complaints;

g) Documents to be reviewed, opening all the areas, providing records (including internal audit report) and preparing relevant personnel;

h) Propagate only the scope that has got the approval of certification;

i) The reputation of ICAS should not be compromised when propagating the certification result. Statement that is misleading on ICAS's part or unauthorized can't be issued;

j) When receiving the notice of suspension or withdrawal of certification (no matter how it is decided), the client should stop advertisements with certification contents immediately and return all the certification documents according to ICAS requirements;

k) Certification can only verify that the quality system meets the specific standard or other normative document rather than the product or service getting ICAS approval;

l) Without use or partial use of certification documents, mark or reports with a misleading way;

m) Quotation of the certification contents in media (such as documents, brochures or advertisements) should meet the requirements of ICAS and possessing procedures to ensure the latest information for ICAS;

n) Require client to meet the certification requirements including making appropriate change on receiving the notice from ICAS.

4.1.3.2 ICAS 和客户之间应签订在法律上具有强制实施力的提供认证服务的协议（包括多场所信息）。ICAS shall have a legally enforceable agreement with each client for the provision of certification activities(including information on multi-site).

4.1.3.3 当申请的认证范围涉及某一特定认证项目时，应向申请人作出必要的解释。When a specific certification project is involved in the applied certification scope, an explanation to the applicant is necessary.

4.1.3.4 有要求时，ICAS 应向申请人提供补充的申请信息。

ICAS should provide supplementary applying information for the applicant upon request.

4.1.4 审核方案 Audit programme

4.1.4.1 各管理体系认证规则及程序应保证审核/检查之前,ICAS 对整个认证周期制定审核方案,用以证实客户的管理体系符合认证所依据标准或其他规范性文件的要求。认证周期的审核方案应覆盖全部的管理体系要求。

Certification standards and procedure of each management system shall make sure that before auditing/inspecting, ICAS makes audit programme for the whole certification cycle to verify client's management system in accordance with standards that certification is based on or requirements by other normative documents. Audit program for the certification cycle shall cover all requirements of management system.

4.1.4.2 初次认证审核方案应包括两阶段初次审核、认证决定之后的第一年与第二年的监督审核和第三年在认证到期前进行的再认证审核。第一个三年的认证周期从初次认证决定算起。 以后的周期从再认证决定算起。审核方案的确定和任何后续调整应考虑客户的规模,其管理体系、产品和过程的范围与复杂程度, 以及经过证实的管理体系有效性水平和以前审核的结果;

Initial certification audit programme consists of two-stage initial audit, surveillance audit in the first year and second year after certification decision and recertification audit before certification expires in the third year. The first three-year certification cycle starts from initial certification decision. Period after that starts from recertification. Determination of audit programme and any follow-up adjustment shall consider client's scale, scope of its management system, product and process and their complexities, and verified effectiveness of its management system and previous audit result;

4.1.4.3 监督审核应至少每个日历年(应进行再认证的年份除外) 进行一次。初次认证后的第一次监督审核应在认证决定日期起 12 个月内进行。此后,FSMS/HACCP 认证两次监督审核之间不应超过 15 个月。

Surveillance audit shall be conducted every calender year (except for the year of recertification). The first surveillance audit after initial certification shall be carried out within 12 years from date of certification decision. After that, the period between Surveillance and audit of FSMS/HACCP certification should not exceed 15 months.

4.1.4.4如果考虑客户已获的认证或由另一认证机构实施的审核, 则应获取并保留充足的证据,例如以往审核报告和对不符合采取的纠正措施的文件。所获取的文件应为满足本文件要求提供支持。此时ICAS可根据获取的信息证明对审核方案的任何调整的合理性,并予以记录,并对以前不符合的纠正措施的实施进行跟踪;

If client had obtained certification or had audit by other certification body, it shall be collected and keep adequate evidence such as previous audit report and documents of corrective actions adopted against nonconformity. Document collected shall give support to the compliance with requirements of this document. ICAS could prove the rationality of any adjustment to the audit programme based on the acquired information, make records and follow up on the previous corrective actions against nonconformity;

4.1.4.5 如果客户采用轮班作业, 应在建立审核方案和编制审核计划时考虑在轮班工作中发生的活动。

If the client adopts shift work, activities occurred during shift work shall be considered when establishing audit programme and audit plan.

4.1.5 确定审核时间 Determining audit time

4.1.5.1 ICAS 编制认证管理程序文件，选择审核的日期、时间和季节，确定审核时间，以使审核组有机会针对组织认证范围内有代表性的生产线、行业类别与子行业类别的运行状况进行审核。并针对每个客户的规模、审核范围、生产过程和产品的安全风险程度等因素，确定策划和完成对其食品安全管理体系的完整有效审核所需的时间。ICAS 应记录所确定的时间及其合理性。通过审核方案体现对每个客户确定策划和完成对其管理体系的完整有效审核所需的时间。

ICAS prepares certification management procedure document, selects audit date, time and season and determines audit time to enable audit team has opportunity to conduct audit against the operation of production line, industrial type and sub-industrial type which are representative within the certification scope. And it confirms the time needed for planning and completing the effective audit of its food safety management system in regards of the size of each client, the audit scope, the manufacturing process and safety and risk level of the product etc. ICAS shall record the confirmed time and its rationality. Through audit programme, it reflects the time needed for the determination of the plan for each client as well as for the completed and effective audit against its management system.

4.1.5.2 在确定审核时间时，应考虑（但不限于）以下方面：
a) 相关管理体系标准的要求；
b) 客户及其管理体系的复杂程度；
c）与客户的管理体系相关的有效人数（包括固定人员和非固定人员）；
d) 技术和法规环境；
e) 管理体系范围内活动的分包情况；
f) 以前审核的结果；
g) 场所的数量和规模、 地理位置以及对多场所的考虑；
h) 与组织的产品、过程或活动相关联的风险；
i) 是否是结合审核、联合审核或一体化审核。
在已为特定的认证方案确定了特定的准则时，例如 ISO/TS 22003（CNAS-CC18）或 ISO/IEC 27006（CNAS-CC170），这些特定准则应得到采用。

In determining the audit time, the certification body shall consider, among other things, the following aspects:
- the requirements of the relevant management system standard;
- complexity of the client and its management system;
- effective number of people from client's management system(including permanent staff and non-permanent staff);
- technological and regulatory context;
- any outsourcing of any activities included in the scope of the management system;
- the results of any prior audits;
- size and number of sites, their geographical locations and multi-site considerations;
- the risks associated with the products, processes or activities of the organization;
- whether audits are combined, joint or integrated.

Where specific criteria have been established for a specific certification scheme, e.g. ISO/TS 22003（CNAS-CC18）or ISO/IEC 27006（CNAS-CC170), these shall be applied.

4.1.5.3 ICAS 给客户的报价单应分别列出与审核相关的活动所需要的人天，以证实或证明审核、监督或再认证所用时间的合理性。

The quotation given to the client should list respectively the days needed for each activity that is related to audit, in order to verify rationality of the days for audit, surveillance or recertification.

4.1.5.4 未被指派为审核员的审核组成员（即技术专家、翻译人员、观察员和实习审核员）所花费的时间不应计入上面所确定的审核时间。

The time spent by any team member that is not assigned as an auditor (i.e. technical experts, translators, interpreters, observers and auditors-in-training) shall not count in the above established duration of the management system audit.

4.1.6 多场所组织的认证 Certification of multi-site organization

多场所组织是指组织有一个确定的中心职能机构（以下称作中心办公室，但不一定是组织的总部）来策划、控制或管理某些食品安全管理体系活动，并且有一个由场所组成的网络来实施（或部分实施）这些活动。

多场所组织的情况可能有：
—以特许经营方式开展业务的组织；
—有一个或多个生产场所及销售办事处网络的加工企业；
—服务组织有多个场所，各场所提供相似的服务；
—有多个分支的组织。

Multi-site organization refers to organization with a determined central functional organization(hereinafter referred to as central office, but not always the head office of the organization) to plan, control or manage some food safety management system activities, and a network consists of sites would implement (or partly implement) these activities.

Situations of multi-site organization may include:
--organization conducts business in a way of franchising;
--processing enterprise with one or several manufacture sites as well as sales office network;
--service organization with several sites which provides similar service;
--organization with several branches.

4.1.6.1 ICAS 根据 CNAS-CC105:2020《确定管理体系审核时间》、CNAS-CC190：2015、CNAS-SC15:2018、CNAS-CC18:2014、GB/T 27204《合格评定 确定管理体系认证审核时间指南》及 IAF MD9，并根据 CNAS-CC11:2018《多场所组织的管理体系审核与认证》为客户确定审核所需要的时间、制定抽样方案以确保对该管理体系的正确审核。确保 ICAS 的审核员有充分的时间依据客户的组织规模、场地数量以及适用的标准对客户进行所有与审核有关活动。

应针对每个客户将抽样计划的合理性形成文件。一些特定的认证方案不允许抽样，如果特定认证方案已经建立了具体准则（例如 ISO/TS 22003），应采用这些准则。

ICAS shall determine the required time for audit and prepare sampling programme according to CNAS-CC105:2020 *Determination of Audit Time for Management System*、CNAS-CC190：2015、CNAS-SC15:2018 、 CNAS-CC18:2014, GB/T27204"Conformity assessment determination management system certification audit time guide" and IAF MD9 as well as CNAS-CC11:2018 *Audit and Certification of Multi-site Organization* to ensure the correct audit of this management system. And auditor has sufficient time to implement activities related to audit according to client's scale, number of sites and applicable standards.

The rationality of sampling plan shall be formed into document against each client. Some specific certification scheme does not permit sampling. If specific certification scheme has established

detailed criteria (e.g.ISO/TS 22003), these criteria shall be adopted.

4.1.6.2 对于食品安全管理体系/HACCP体系，当认证委托人的体系覆盖了多个场所时，ICAS应对包括中心职能在内的所有场所实施现场认证审核，以确保审核的有效性。当认证委托人将影响食品安全的重要生产过程采用委托加工等方式进行时，除非被委托加工组织的被委托加工活动已获得相应的危害分析与关键控制点（HACCP）体系认证或食品安全管理体系认证，否则应对委托加工过程实施现场审核。

For food safety management system/HACCP system, if the certification of the principal's FSMS covers multiple sites, ICAS should conduct on-site certification audits at all sites, including central functions, to ensure the effectiveness of audits. If the certification of the principal's adopts commissioned manufacturing etc. for key production process which may affect food safety, then, unless commissioned activities by commissioned manufacturing organization has obtained Hazard Analysis and Critical Control Point (HACCP) system certification or Food Safety Management System certification, on-site audit shall be conducted to commissioned manufacturing process.

4.1.7 多管理体系标准 Standard of multiple management systems

ICAS在提供依据多个管理体系标准进行认证时，审核策划应确保充分的现场审核，以提供对认证的信任。

When ICAS is conducting certification based on multiple management systems, audit plan shall ensure adequate on-site audit for the confidence in the certification.

4.2 策划 **Planning**

4.2.1 确定审核目的、范围和准则 Determining audit objectives, scope and criteria

4.2.1.1 ICAS要求客户申请认证时说明其审核目的审核范围和准则，包括任何更改，经ICAS合同评审、审核方案策划人员与客户商讨后确定。

ICAS requires client to describe its audit objective, scope and criteria, including any changes, when applying for certification, which shall be determined after contract reviewer and audit programme planner of ICAS had discussion with the client.

4.2.1.2 审核目的应说明审核要完成什么，并应包括下列内容：

a) 确定客户管理体系或其部分与审核准则的符合性；

b) 确定管理体系确保客户满足适用的法律、法规及合同要求的能力；

c) 确定管理体系在确保客户可以合理预期实现其规定目标方面的有效性；

d) 适用时，识别管理体系的潜在改进区域。

Audit objective shall describe what is to be accomplished by audit and shall include the following:

a) determination of the conformity of the client's management system, or parts of it, with audit criteria;

b) determination of the ability of the management system to ensure the client meets applicable

statutory, regulatory and contractual requirements;

c) determination of the effectiveness of the management system to ensure the client can reasonably

expect to achieving its specified objectives;

d) as applicable, identification of areas for potential improvement of the management system.

4.2.1.3 审核范围应说明审核的内容和界限，例如拟审核的场所、组织单元、活动及过程。当初次认证或再认证过程包含一次以上审核（例如覆盖不同场所的审核）时，单次审核的范围可能并不覆盖整个认证范围，但整个审核所覆盖的范围应与认证文件中的范围一致。

The audit scope shall describe the extent and boundaries of the audit, such as sites, organizational units, activities and processes to be audited. Where the initial or re-certification process consists of more than one audit (e.g. audit covering different sites), the scope of an individual audit may not cover the full certification scope, but the totality of audits shall be consistent with the scope in the certification document.

4.2.1.4 审核准则应被用作确定符合性的依据，并应包括：
——所确定的管理体系规范性文件的要求；
——所确定的由客户制定的管理体系的过程和文件。

The audit criteria shall be used as a reference against which conformity is determined, and

shall include:

— the requirements of a defined normative document on management systems;

— the defined processes and documentation of the management system developed by the client.

4.2.2 选择和指派审核组 Audit team selection and assignments

4.2.2.1 ICAS根据审核目的能力要求及公正性选择和任命一个合格具备能力的审核/检查组，对从申请方收集到的资料进行评价和实施审核。

ICAS selects and appoints a qualified and competent audit/inspection team taking into account the competence needed to achieve the objectives of the audit and requirements for impartiality, and perform evaluation and implement audit of the materials received from applicant.

4.2.2.1.1 决定审核组的规模和组成时，应考虑下列因素：
a) 审核目的、范围、准则和预计的审核时间；
b) 是否是结合、联合或一体化审核；
c) 实现审核目的所需的审核组整体能力；
d) 认证要求（包括任何适用的法律、法规或合同要求）；
e) 语言和文化；

In deciding the size and composition of the audit team, consideration shall be given to the following:
a) audit objectives, scope, criteria and estimated audit time;
b) whether the audit is a combined, joint or integrated;
c) the overall competence of the audit team needed to achieve the objectives of the audit
d) certification requirements (including any applicable statutory, regulatory or contractual requirements);
e) language and culture;

4.2.2.1.2 必要时，审核组长和审核员所需的知识和技能可以通过技术专家和翻译人员补充。

技术专家和翻译人员应在审核员的指导下工作。使用翻译人员时，翻译人员的选择要避免

他们对审核产生不正当影响。技术专家参加ICAS的审核/检查组以协助审核/检查小组完成可以信任的审核/检查活动。

The necessary knowledge and skills of the audit team leader and auditors may be supplemented by technical experts, translators and interpreters.

Technical experts and translators shall work under the guidance of an auditor. Where translators or interpreters are used, they shall be selected such that they do not unduly influence the audit. Technical experts participate in the audit/examination team of ICAS in order to assist audit/inspection group to complete the trustworthy audit/inspection activity.

4.2.2.1.3 实习审核员可以参与审核，但必须和一名实习指导人员组成一组，否则不能单独审核。实习指导人员应有能力接管实习审核员的任务，并对实习审核员的活动和审核发现最终负责。

Auditors-in-training may participate in the audit, provided an auditor is appointed as an evaluator. The evaluator shall be competent to take over the duties and have final responsibility for the activities and findings of the auditor-in-training.

4.2.2.1.4 审核组长在与审核组商议后，应向每个审核组成员分配对特定过程、职能、场所、区域或活动实施审核的职责。所进行的分配应考虑到所需的能力、有效并高效地使用审核组以及审核员、实习审核员和技术专家的不同作用和职责。在审核进程中，为确保实现审核目的，可以改变工作分配。

The audit team leader, in consultation with the audit team, shall assign to each team member responsibility for auditing specific processes, functions, sites, areas or activities. Such assignments shall take into account the need for competence, and the effective and efficient use of the audit team, as well as different roles and responsibilities of auditors, auditors-in-training and technical experts. Changes to the work assignments may be made as the audit progresses to ensure achievement of the audit objectives.

4.2.2.2 观察员、技术专家和向导 Observers, technical experts and guides

4.2.2.2.1 观察员Observers

ICAS与客户应在实施审核前就审核活动中观察员的到场及理由达成一致。审核组应确保观察员不对审核过程或审核结果造成不当影响或干预。观察员可能是是客户组织的成员、咨询人员、实施见证的认可机构人员、监管人员或其他有合理理由的人员。

The presence and justification of observers during an audit activity shall be agreed to by the ICAS and client prior to the conduct of the audit. The audit team shall ensure that observers do not unduly influence or interfere in the audit process or outcome of the audit. Observers can be members of the client's organization, consultants, witnessing accreditation body personnel, regulators or other justified persons.

4.2.2.2.2 技术专家Technical experts

ICAS应在实施审核前与客户就技术专家在审核活动中的作用达成一致。技术专家不应担任审核组中的审核员。技术专家应由审核员陪同。技术专家可以就审核准备、策划或审核向审核组提出建议。

The role of technical experts during an audit activity shall be agreed to by ICAS and client prior to the conduct of the audit. A technical expert shall not act as an auditor in the audit team. The technical experts shall be accompanied by an auditor.The technical expert may advise the audit team on audit preparation, planning or auditing.

4.2.2.2.3 向导Guides

　　每个审核小组应由一名向导陪同，除非审核组长与客户另行达成一致。为审核组配备向导是为了方便审核。审核组应确保向导不影响或不干预审核过程或审核结果。
　　注1：向导的职责可以包括：
a) 为面谈建立联系或安排时间；
b) 安排对现场或组织的特定部分的访问；
c) 确保审核组成员知道并遵守关于现场安全和安保程序的规则；
d) 代表客户观察审核；
e) 应审核员请求提供澄清或信息。
　　注2：适宜时，受审核方也可以担任向导。

Each auditor shall be accompanied by a guide, unless otherwise agreed to by the audit team leader and the client. Guide(s) are assigned to the audit team to facilitate the audit. The audit team shall ensure that guides do not influence or interfere in the audit process or outcome of the audit.
　　Note 1: The duties of the guide may include:
a) Establishing contacts or scheduling time for interviews;
b) Arranging visits to the site or specific parts of the organization;
c) Ensuring that members of the audit team are aware of and follow the rules regarding site safety and security procedures;
d) Observing the audit on behalf of the client;
e) Provide clarification or information at the request of the auditor.
　　Note 2: Where appropriate, the auditee may also act as a guide.

4.2.3 审核计划 Audit plan

　　ICAS应确保为审核方案中确定的每次审核编制审核计划，以便为有关各方就审核活动的日程安排和实施达成一致提供依据。

The certification body shall ensure that an audit plan is established prior to each audit identified in the audit programme to provide the basis for agreement regarding the conduct and scheduling of the audit activities.

4.2.3.1 编制审核计划 Preparing the audit plan
　　审核计划应与审核目的和范围相适应。审核计划至少应包括或引用：
a) 审核目的；
b) 审核准则；
c) 审核范围，包括识别拟审核的组织和职能单元或过程；
d) 拟实施现场审核活动（适用时，包括对临时场所的访问和远程审核活动）的日期和场所；
e) 预计的现场审核活动持续时间；
f) 审核组成员及与审核组同行的人员（例如观察员或翻译）的角色和职责。

　　根据认证方案的特性和产品要求，ICAS 应制定一个评价活动计划，以做出必要的安排。制定的该计划可以是适用于所有活动的通用计划，包括适用时对质量管理体系的评价，或是针对一项特定活动的专门计划，或是两者的结合。

The audit plan shall be appropriate to the objectives and the scope of the audit. The audit plan shall at least include or refer to the following:
　　a) the audit objectives;

b) the audit criteria;

c) the audit scope, including identification of the organizational and functional units or processes to be audited;

d) the dates and sites where the on-site audit activities will be conducted, including visits to temporary sites and remote auditing activities, where appropriate;

e) the expected duration of on-site audit activities;

f) the roles and responsibilities of the audit team members and accompanying persons, such as observers or interpreters.

ICAS shall establish an evaluation activity plan according to the characteristics of certification scheme and product requirements so as to make necessary arrangements. The plan could be either a universal one that applies to all the activities including evaluation of quality management system or a specific one to a certain activity, or the combination of both kinds.

4.2.3.2 审核组任务的沟通 Communication of audit team tasks

ICAS发给审核/检查小组正式的任务书；审核/检查计划及审核/检查时间的安排应征得客户的同意；任务书应明确要求审核/检查组核实客户的产品、过程、方针和程序并确认其能否满足有关认证范围的所有要求以及程序得到有效的实施。应要求审核组：

a) 检查和验证客户与管理体系标准相关的结构、方针、过程、程序、记录及相关文件；

b) 确定上述方面满足与拟认证范围相关的所有要求；

c) 确定客户组织有效地建立、实施并保持了管理体系过程和程序，以便为建立对客户管理体系的信任提供基础；

d) 告知客户其方针、目标及指标的任何不一致，以使其采取措施。

Distribute to the audit/inspection team a formal assignment document. The audit/inspection plan and arrangement of the audit/inspection time should get the client's permission. The assignment document should define that the audit/inspection team audit the client's product, process, guidelines and procedure and whether or not they meet all the requirements within the certification scope and the procedure is implemented effectively. Audit team is required to:

a) examine and verify the structure, policies, processes, procedures, records and related documents of the client relevant to the management system standard;

b) determine that these meet all the requirements relevant to the intended scope of certification;

c) determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client's management system;

d) communicate to the client, for its action, any inconsistencies between the client's policy, objectives and targets.

4.2.3.3 审核计划的沟通 Communication of audit plan

应提前与客户就审核计划进行沟通，并商定审核日期。

The audit plan shall be communicated and the dates of the audit shall be agreed upon, in advance, with the client.

4.2.3.4 审核组成员信息的通报 Communication concerning audit team members

ICAS应提前将审核/检查组成员的姓名通知客户，并使其有足够的时间提出对所指派审核/检查员和专家是否有异议，并在反对有效时使ICAS能够重组审核组。

ICAS shall provide the name of each member of the audit/inspection team, with sufficient time for the client to object to the appointment of any particular audit team member and for the

certification body to reconstitute the team in response to any valid objection.

4.3 实施 **Implementation**

4.3.1 初次认证Initial certification

管理体系的初次认证审核应分两个阶段实施：第一阶段和第二阶段。认证流程及要求应在各管理体系的认证管理程序中做出规定。

Initial certification audit of management system shall be implemented in two stages: stage 1 and stage 2. Certification process and requirements shall be specified in the certification management procedure of management system.

4.3.1.1 第一阶段Stage 1

4.3.1.1.1 策划应确保第一阶段的目的能够实现，应告知第一阶段需实施的任何现场活动。Planning shall ensure that the objectives of stage 1 can be met and the client shall be informed

of any "on site" activities during stage 1.

4.3.1.1.2 第一阶段的目的为：The objectives of stage 1 are to:

a) 审核客户的文件化的管理体系信息；

b) 评价客户现场的具体情况，并与客户的人员进行讨论，以确定第二阶段的准备情况；

c) 审查客户理解和实施标准要求的情况，特别是对管理体系的关键绩效或重要的因素、过程、目标和运作的识别情况；

d) 收集关于客户的管理体系范围的必要信息，包括：
- 客户的场所
- 使用的过程和设备
- 所建立的控制的水平（特别是客户为多场所时）
- 适用的法律法规要求；

e) 审查第二阶段所需资源的配置情况， 并与客户商定第二阶段的细节；

f) 结合管理体系标准或其他规范性文件充分了解客户的管理体系和现场运作，以便为策划第二阶段提供关注点；

g) 评价客户是否策划和实施了内部审核与管理评审，以及管理体系的实施程度能否证明客户已为第二阶段做好准备。

h）与申请组织讨论确定第二阶段审核安排。对管理体系成文信息不符合现场实际、相关体系运行尚未超过3个月或者无法证明超过3个月的，以及其他不具备二阶段审核条件的，不应实施二阶段审核。

a) review the client's management system documented information;

b) evaluate the client's site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for stage 2;

c) review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;

d) obtain necessary information regarding the scope of the management system, including:

— the client's site(s);

— processes and equipment used;

— levels of controls established (particularly in case of multi-site clients);

— applicable statutory and regulatory requirements;

e) review the allocation of resources for stage 2 and agree the details of stage 2 with the client;

f) provide a focus for planning stage 2 by gaining a sufficient understanding of the client's management system and site operations in the context of the management system standard or other normative document;

g) evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for stage 2.

h) Determine audit plan for stage 2 after discussing with applicant. Under the following situation, stage 2 audit shall not be carried out: documented information of management system is not in conformance with on-site reality, regarding system has operated for less than 3 months or can not proven to be more than 3 months, there is anywhere else where fail to meet requirements for stage 2 audit.

4.3.1.1.3 ICAS应将第一阶段目的是否达到及第二阶段是否准备就绪的书面结论告知客户，包括识别任何引起关注的、在第二阶段可能被判定为不符合的问题。

ICAS shall inform Documented conclusions with regard to fulfillment of the stage 1 objectives and the readiness for stage 2 shall be communicated to the client, including identification of any areas of concern that could be classified as a nonconformity during stage 2.

4.3.1.1.4 如果发生任何将影响管理体系的重要变更，ICAS应考虑是否有必要重复整个或部分第一阶段。ICAS应告知客户第一阶段的结果有可能导致推迟或取消第二阶段。

If any significant changes which would impact the management system occur, ICAS shall consider the need to repeat all or part of stage 1. The client shall be informed that the results of stage 1 may lead to postponement or cancellation of stage 2.

4.3.1.1.5 对于第一阶段审核过的食品安全管理体系/HACCP体系的相应部分，被确定为实施充分、有效并符合要求的，第二阶段可以不再对其审核。然而，ICAS应确保食品安全管理体系/HACCP体系已审核的部分持续符合认证要求。在这种情况下，审核报告应包含第一阶段审核中的审核发现，并且应清楚地表述第一阶段审核已经确立的符合性。

For the relevant part of food safety management system/HACCP system which has passed the stage 1 is considered sufficient, effective and complied with requirements, it does not need to be audited in the stage 2. However, ICAS shall ensure that the part of food safety management system/HACCP system which has been audited continuously complies with certification requirements. Under this circumstance, audit report shall include audit finding during stage 1 audit and clearly express the compliance which has been established during stage 1 audit.

4.3.1.1.6 若第一阶段审核不在申请组织现进行，应在审核方案策划时记录未在现场进行的原因，并告知客户这种策划可能带来的认证风险。

If stage 1 audit is not carried out in the applicant's organization, reason for not being on the site shall be recorded when planning audit programme, and client shall be informed of the certification risks may be brought by this planning.

4.3.1.2 在确定第一阶段审核和第二阶段审核的间隔时间时，应考虑客户解决第一阶段审核中识别的任何需关注问题所需的时间。ICAS也可能需要调整第二阶段审核的安排。

In determining the interval between stage 1 and stage 2, consideration shall be given to the needs of the client to resolve areas of concern identified during stage 1. The certification body may also need to revise its arrangements for stage 2.   ICAS may need to adjust plan for stage 2 audit.

4.3.1.3 第二阶段stage 2

第二阶段的目的是评价客户管理体系的实施情况，包括有效性。第二阶段应在客户的现场进行（ISMS不做强制要求），并至少覆盖以下方面：
a) 与适用的管理体系标准或其他规范性文件的所有要求的符合情况及证据；
b) 依据关键绩效目标和指标（与适用的管理体系标准或其他规范性文件的期望一致），对绩效进行的监视、测量、报告和评审；
c) 客户管理体系的能力以及在符合适用法律法规要求和合同要求方面的绩效；
d) 客户过程的运作控制；
e) 内部审核和管理评审；
f) 针对客户方针的管理职责；

The purpose of stage 2 is to evaluate the implementation, including effectiveness, of the client's management system. The stage 2 shall take place at the site(s) of the client(Not mandatory for ISMS). It shall include the auditing of at least the following:

a) information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;

b) performance monitoring, measuring, reporting and reviewing against key performance objectives

and targets (consistent with the expectations in the applicable management system standard or other normative document);

c) the client's management system ability and its performance regarding meeting of applicable

statutory, regulatory and contractual requirements;

d) operational control of the client's processes;

e) internal auditing and management review;

f) management responsibility for the client's policies.

4.3.1.4 初次认证的审核结论 Initial certification audit conclusions

审核组应对在第一阶段和第二阶段中收集的所有信息和证据进行分析，以评审审核发现并就审核结论达成一致。

The audit team shall analyse all information and audit evidence gathered during stage 1 and stage 2 to review the audit findings and agree on the audit conclusions.

4.3.1.5 当审核发现任何不符合项时，ICAS审核员或其指定的人员需审查客户提交的纠正和纠正措施，以确定其是否可被接受。ICAS应验证所采取的任何纠正和纠正措施的有效性。所取得的为不符合的解决提供支持的证据应予以记录。对不符合的解决进行审查和验证的证据应予以

记录。并应将审查和验证的结果告知客户。

If nonconformity is found in the audit, ICAS auditor or the assigned personnel shall examine the correction and corrective action submitted by the client to make sure if it is acceptable. ICAS shall verify the validity of any correction and corrective action adopted. The evidence of support offered to solve the nonconformity collected shall be recorded. The evidence of examination and verification of nonconformity-solving shall be recorded and the result of examination and verification shall be informed to the client.

4.3.2 实施审核 Conducting audit

ICAS制订规定各个管理体系认证过程的认证管理程序文件，确保审核小组依据适用的认证要求在商定的范围内评审客户的管理体系和产品、服务。程序中均应包括开始时的首次会议和审核结束时的末次会议。

当审核的任何部分以电子手段实施时，或拟审核的场所为虚拟场所时，ICAS应确保由具备适宜能力的人员实施此类活动。在此类审核活动中获取的证据应足以让审核员对相关要求的符合性做出有根据的决定。

ICAS prepares certification management procedure document which specifies certification process for different management systems in order to ensure the audit team reviews client's management system and productions and services. This process shall include an opening meeting at the start of the audit and a closing meeting at the conclusion of the audit.

Where any part of the audit is made by electronic means or where the site to be audited is virtual, ICAS shall ensure that such activities are conducted by personnel with appropriate competence. The evidence obtained during such an audit shall be sufficient to enable the auditor to take an informed decision on the conformity of the requirement in question.

4.3.2.1 召开首次会议 Conducting the opening meeting

4.3.2.2 审核中的沟通 Communication during audit

4.3.2.3 获取和验证信息 Obtaining and verifying information

4.3.2.4 确定和记录审核发现 Identifying and recording audit findings

4.3.2.5 准备审核结论 Preparing audit conclusions

4.3.2.6 召开末次会议 Conducting the closing meeting

4.3.2.1至4.3.2.6 的要求均应通过各认证管理程序文件体现。 Requirements from 4.3.2.1 to 4.3.2.6 shall represent in different certification management procedures documents.

4.3.3 审核报告 Audit report

4.3.3.1 ICAS 的各个管理体系认证管理程序应明确审核报告程序，确保：

a) 审核组离开现场前与客户管理者召开一次正式会议,就审核结果是否符合规定的认证要求给予口头或书面说明，并给客户提供针对审核发现及其依据提出质疑的机会；

b) ICAS 为审核组记录审核发现制定相关的查检表、不符合事项报告、现场笔记等，以便审核组在每一次审核后向 ICAS 提交说明客户的管理体系与所有认证要求符合性的审核发现报告以支持认证决定。该审核发现报告应能表明：

● 审核覆盖的区域（如：认证要求的区域，受审核方的地点/单位/部门/过程申请评审信息的确认）；

- 正面的（如：值得注意的特点）和负面的（如：潜在的不符合）观察；

- 有客观证据支持的不符合事项报告；适用时还包括对客户采取的纠正措施的意见；

- 必要时，支持审核发现报告的证据。

- 与审核类型的要求一致的审核发现、对审核证据的引用以及审核结论；

- 审核基于对可获得信息的抽样过程的免责声明；

- 是否授予认证的推荐性意见及附带的任何条件或评论。

- 若采用了远程审核方法，应说明远程审核方法在审核中的使用程度及其实现审核目标的有效性；若所有活动都是远程实施的，审核报告应说明组织所有活动都是远程实施的。

c) ICAS 将每次的审核报告书面提供给客户，明确为符合所有认证要求所需纠正的不符合项的原因分析及必要的纠正、纠正措施；但不应提出具体解决办法的建议。ICAS 享有对本机构所出具审核报告的所有权。

d) 审核组长负责审核报告的编制，并应对审核报告的内容负责。审核报告应提供对审核的准确、简明和清晰的记录，以便为认证决定提供充分的信息

ICAS制定书面报告格式，归纳审核发现，及有关客户是否在满足对证书确定的范围内提供的产品或服务符合商定要求的能力的决定。

All management system certification management procedures of ICAS shall specify the procedure of audit report to ensure:

a) The audit team has a meeting with the client's managers to give an oral or written statement about whether or not the audit finding conforms to the specified certification requirements and provide the client a chance to raise questions about the audit finding and the evidence;

b) ICAS makes relevant checklist, nonconformity items report, on-site notes, etc. for the audit team to record audit findings so as to facilitate the submission of audit finding report which shows the conformity of the client's management system with all the certification requirements after each audit to support the certification decision. This audit finding report should be able to show that:

- Aspects covered by the audit (such as the area required by the certification, confirmation of the following information applying for review: the auditee site/company/department/process);

- The positive (e.g. noticeable features) and negative (e.g. potential nonconformity) observation;

- nonconformity items report supported by objective evidence; advice to the client's corrective actions is also included when applicable;

- Evidence supports audit findings report when necessary;

- Audit findings under same requirements of audit type, quote of audit evidence and audit conclusion;

- Disclaimer with respect to the sampling process based on audit of available information;

- The recommend advice on whether certification should be granted and any attached conditions or comments.

- If remote audit methods are used, the extent to which remote audit methods are used in the audit and their effectiveness in achieving the audit objectives shall be described; if all activities

are performed remotely, the audit report shall state that all activities of the organization are performed remotely.

c) ICAS shall provide a written report for each audit to the client. The audit team may identify opportunities for improvement but shall not recommend specific solutions. Ownership of the audit report shall be maintained by ICAS.

d) The audit team leader shall ensure that the audit report is prepared and shall be responsible for its content. The audit report shall provide an accurate, concise and clear record of the audit to provide adequate information for decision making.

ICAS has format for written report, concludes audit findings and makes decisions on whether client has competence in providing products or services within scope determined in the certificate.

4.3.3.2 《FSMS/HACCP 体系认证管理程序》（ICASP27） 规定相应审核报告的编制要求。 '*Management Procedure of FSMS/HACCP System Certification*' (ICASP27) specifies the requirements for preparing audit report.

4.3.3.3 如果 ICAS 批准的正式报告与上述的审核发现报告及书面总结有差异时,应提交给客户, 并解释与前者的不同之处。报告应考虑：

a) 受审核的人员的资格、经历和权限；

b) 为建立对其管理体系的信心，申请人采用的内部组织和程序的适宜性；对适宜性的评述宜由 对客户管理管理体系发展状况（成熟度）和有效性的评述来支持。如果是针对多个管理体系的 审核，报告应清楚地表明与每个管理体系标准的所有重要要求的符合性。

c) 对已确定的不符合项的纠正措施,必要时包括以往审核中确定的不符合项的纠正措施。

When there is difference between the formal report approved by ICAS and the above audit finding report and written summary, the difference should be submitted to the client and should be explained. The report should take into consideration：

a) Qualification, experience and authorities of personnel being audited;

b) the adequacy of internal organization and procedure adopted by the applicant in order to establish confidence in its management system; comments on the adequacy are better to be supported by the development status (maturity degree) and effectiveness of client's quality management system.. If audit of multiple management systems, the report should clearly declare the conformity with all the important requirements of each management standard;

c) Corrective actions against those identified nonconformity, and corrective actions against nonconformity determined in the previous audit.

4.3.4 评价 Evaluation

4.3.4.1 制订《产品认证管理程序》确保产品认证评价小组依据评价计划进行评价、检查活动。

'*Product Certification Management Procedure*' is prepared to ensure that product certification evaluation team conducts evaluation, examination activities according to the evaluation plan.

4.3.4.2 ICAS给申请认证组织的报价单应分别列出与评价相关的活动所需要的人天，以证实或证 明评价、监督时间的合理性。 ICAS指派人员执行相应评价任务。

The quotation list ICAS gives to applicant shall list the man day required for the activity

related to the evaluation in order to verify or to prove the rationality of evaluation and surveillance time. ICAS appoints personnel to enforce relevant evaluation tasks.

4.3.4.3 ICAS通过认证流程规定执行评价任务必须的所有信息和（或）文件要求。

ICAS specifies all information and (or) document requirements required for the implementation of evaluation task through certification process.

4.3.4.4 ICAS针对产品认证项目，制定相应认证方案，按照认证方案中所规定的准则，依据申请认证范围所对应的标准评价申请认证的产品。

根据认证方案所确定的模式，产品认证评价活动可能包括产品检验、工厂检查等活动。其实施方式具体参见《认证规则》及《认证方案》。

ICAS prepares relevant certification scheme in regards of product certification project. It evaluates the product applied for certification based on the relevant standard of applied certification scope and according to principles in the certification scheme.

According to the determined mode of certification scheme, product certification evaluation activity may include product inspection, factory inspection and other activities. Refer to 'Certification Regulations' and 'certification scheme' for the implementation methods .

4.3.4.5 ICAS应按评价计划完成利用内部资源进行的评价活动和管理外包资源。应依据认证范围覆盖的要求和认证方案规定的其他要求评价产品。

ICAS completes the evaluation activity by using internal resources and manage external resources according to the evaluation plan. It shall evaluate the product according to the requirements covered by the certification scope and other requirements from certification scheme.

4.3.4.6 ICAS只采信本次认证申请之前完成的与认证相关的评价结果，只有在这种情况下，ICAS对评价结果负责，并且证明实施评价的机构满足6.2.2及认证方案规定的要求。

ICAS only adopts the evaluation results which is related to the certification and is completed prior to this certification application. Only under such circumstance, ICAS is responsible for the evaluation result and is able to prove the organization it evaluates comply with requirements of 6.2.2 and certification scheme.

4.3.4.7 当有需要附加其他的评价任务时，须经客户方同意；同意后按评价要求对附加项进行评价。

When there is need to add other evaluation task, it shall be agreed by the client party; and after agreed, additional items can be evaluated according to evaluation requirements.

4.3.4.8 如发生不符合，评价组应将所用不符合告知客户。如果发现了一个或多个不符合，且客户希望继续认证过程，ICAS应提供为验证不符合得到纠正所需的附加评价任务的有关信息。如果客户同意完成附加的评价任务，则应重复4.3.4.5中规定的过程以完成附加的评价任务。

If there is nonconformity, evaluation team shall inform the client of all the nonconformity. If one or several nonconformities are found, and client wishes to continue certification process, ICAS shall provide relevant information of additional evaluation required for verifying the correction of nonconformity. If client agrees to complete the additional evaluation task, the process specified in the 4.3.4.5 shall be repeated to complete it.

4.3.4.9 复核之前，所有评价活动的结果应形成文件。

Before review, result of all evaluation activity shall be formed into document.

4.3.5 评价报告 Evaluation report

《产品认证管理程序》应明确 ICAS 的评价报告程序，确保：

a）评价组离开现场前与客户管理者召开一次会议,就评价结果是否符合规定的认证要求给予口头或书面说明，并给客户提供针对评价发现及其依据提出质疑的机会；

b）评价人员应向机构提交一份关于所有认证要求符合性的发现报告。ICAS 及时将完整的评价结果报告告知申请人，明确为满足全部认证要求所必须解决的不符合，以及需进行的进一步评价或检测的范围。如果申请人能表明在规定的期限内已采取了补救措施来满足所有要求 ICAS 应仅重复进行初始程序中的必需部分。

c）ICAS 为评价组记录评价发现制定相关的查检表、不符合事项报告、现场笔记等，以便评价组在每一评价后向 ICAS 提交评价发现报告以支持认证决定。这些文件可以确定客户的要求（包括如认证方案有要求时，对于生产产品的质量管理体系的要求）是否满足要求提供意见。

'*Product Certification Management Procedure*' should specify ICAS's evaluation report process, ensure that：

a）The review team has a meeting with the client's managers to give an oral or written statement about whether or not the review finding conforms to the specified certification requirements and provide the client a chance to raise questions about the review finding and the evidence;

b）Evaluator should submit a conformance finding report of all certification requirements. ICAS needs to inform applicant of the result about the report and make clear that all the certification requirements must solve the nonconformity and make a further evaluation or test. If applicant can indicate that he has taken remedial actions to meet all requirements within the required time, ICAS just need to repeat the essential parts of the initial procedure;

c）ICAS makes relevant checklist, nonconformity items report, on-site notes, etc. for the review team to record review findings so as to facilitate the submission of review finding report with all the certification requirements after each review to support the certification decision. Those documents can determine whether the clients' requirements (including requirements for product's quality management system when certification scheme has request) meet the requirement to provide advice.

4.3.6 不符合的原因分析 Cause analysis of nonconformities

对于审核中发现的不符合，ICAS应要求客户在规定期限内分析原因，并说明为消除不符合已采取或拟采取的具体纠正和纠正措施。

For nonconformity found in the audit, ICAS shall ask the client to analyze the reason within scheduled period and notify the detailed correction and corrective action that is to be taken or already taken in order to eliminate nonconformity.

4.3.7 纠正和纠正措施的有效性 Effectiveness of corrections and corrective actions

4.3.7.1 ICAS 应审查客户提交的纠正、所确定的原因和纠正措施，以确定其是否可被接受。ICAS 应验证所采取的任何纠正和纠正措施的有效性。所取得的为不符合的解决提供支持的证据应予以记录。应将审查和验证的结果告知客户。

ICAS shall examine the correction and corrective action submitted by the client to make sure if it is acceptable. ICAS shall verify the validity of any correction and corrective action adopted. The

evidence of support offered to solve the nonconformity collected shall be recorded.   The evidence of examination and verification of nonconformity-solving shall be recorded and the result of examination and verification shall be informed to the client.

4.3.7.2 确保所有不符合项都已得到纠正并被ICAS通过现场追踪确认或纠正措施报告的书面确认并接受；对于任何其他不符合，ICAS已评审并接受了客户计划采取的纠正和纠正措施方可批准认证。且应注意以下事宜：

a) 对于仅靠最终检验不足充分确保产品或服务商定的采购要求时，不宜颁发只含盖最终检验过程的管理体系认证证书；

b) ICAS可经认可开展对测试和校准实验室的质量、环境、职业健康安全、能源管理体系的认证，但宜使委托方明白这种认证不等同于对测试或校准实验室的认可。

Ensure that all the nonconformity items have been corrected and confirmed through on-site check by the certification body or the written confirmation of the corrective actions is accepted before the approval of certification. The following should be paid attention to：

a)When the product or service can't be completely guaranteed to meet the agreed purchase requirement only depending on the final inspection, management system certificate with only the final inspection process should not be issued;

b)ICAS could conduct quality, environment, occupational health and safety and energy management systems certifications of testing and calibration laboratories once getting the accreditation, however, entrusting party shall be clear that such certification does not equal to accreditation of the testing or calibration laboratories.

4.3.7.3 如果为了验证纠正和纠正措施的有效性，将需要补充一次全面的或有限的审核，或者需要文件化的证据（需要在未来的审核中确认）时，ICAS 应告知客户。

To verify the effectiveness of the correction and corrective action, a comprehensive or limited audit is required to be added, or if the documentation evidence is required(to be determined in the future audit), ICAS shall notify the client.

4.4 复核报告和认证决定 Report review and certification decision

4.4.1 ICAS对其认证决定负责并保留认证决定权。认证的决定包括授予、拒绝、保持认证，扩大或缩小认证范围，更新、暂停、在暂停后恢复、撤销认证。制订《认证决定程序》（ICASP10）以明确作决定的人员与参与审核/检查的人员相对独立。ICAS注册部负责认证决定的过程管理，ICAS管理委员会指定的具有足够知识和经验的个人根据认证过程和其它方面获得的信息（如申请书、文件审核报告、审核报告、评价报告、投诉、以及对投诉的纠正及预防的有效性等）对客户作出认证决定。

ICAS is responsible for its certification decision and remains its certification decision rights. Certification decision includes granting, refusing, maintaining certification, expanding or reducing certification scope, renewing, suspending, restoring and withdrawing certification. "*Certification Decision Procedure*" (ICASP10) formulated by ICAS clearly states that staff for certification decision is independent of the auditors. The Registration Department is responsible for the procedure management of certification decision. Competent individual appointed by ICAS Management Committee makes certification decision based on certification process and information gathered from

elsewhere (such as application, document audit report, audit report, evaluation report, complaints, effectiveness of corrective and preventive actions targeting at the complaints and so on).

4.4.2 认证决定人员不能是实施审核的人员。

Certification decision maker shall not be the personnel who conduct the audit.

4.4.3 ICAS根据能力评价结果确定至少一人根据评价、复核以及其他相关的所有信息做出认证决定。除非复核和认证决定由相同的人一并做出，否则应将基于复核的认证决定的建议形成文件。认证决定应由未参与评价过程的一个人或一组人完成。这些认证决定人员为ICAS的正式员工。

According to the competence evaluation result, ICAS shall confirm at least one person to make the certification decision based on evaluation, review and other relevant information. Unless review and certification decision are made by one person, the decision based on review shall be made into document. Certification decision shall be made by a person or a group of people who have not participate in the evaluation process. And these people shall be full time employees of ICAS.

4.4.4 ICAS应记录每项认证决定，包括从审核组或其他来源获得的任何补充信息或澄清。

ICAS shall record each certification decision including any additional information or declaration acquired from audit team or other resources.

4.4.5 HACCP认证决定时，应对产品安全验证结果进行评价。

When making HACCP certification decisions, it shall make evaluation on the verification result of product safety.

4.4.6 FSMS认证决定时，ICAS应获得与认证决定相关的所有信息，且所有不符合整改完成并得到验证。应根据审核过程中收集的信息和其他有关信息，对审核结果进行综合评价，以及对产品的实际安全状况进行评价。必要时，ICAS应对认证委托人满足所有认证依据的情况进行风险评估，以做出认证委托人所建立的食品安全管理体系能否获得认证的决定。
认证决定如下：
  1) 对于符合认证要求的认证委托人，ICAS应颁发认证证书。
  2) 对于不符合认证要求的认证委托人，ICAS应以书面的形式告知其不能通过认证的原因。

When making FSMS certification decisions, ICAS shall obtain all information relevant to the certification decision and all non-conformity rectifications shall be completed and verified. The results of the audit should be comprehensively evaluated based on the information collected during the audit process and other relevant information, as well as the actual safety status of the product. Where necessary, ICAS shall conduct a risk assessment of the certification client's ability to meet all certification requirements in order to make a decision as to whether the food safety management system established by the certification client can be certified.
The certification decision is as follows:
  1) For certification principals who meet the certification requirements, ICAS shall issue a certification certificate.

2)For certification principals who don't meet the certification requirements, ICAS shall inform them in writing of the reasons for their failure to pass the certification.

4.4.7 ICAS在做出授予或拒绝认证、扩大或缩小认证范围、更新、暂停或恢复或者撤销认证的决定前，应有过程对下列方面进行有效的审查：
  a) 审核组提供的信息足以确定认证要求的满足情况和认证范围；
  b) 对于所有严重不符合，ICAS已审查、接受和验证了纠正和纠正措施；

c）对于所有轻微不符合，ICAS已审查和接受了客户对纠正和纠正措施的计划。

ICAS shall have a process to conduct an effective review prior to making a decision for granting certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification, including, that:

a) the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;

b) for any major nonconformities, ICAS has reviewed, accepted and verified the correction and corrective actions;

c) for any minor nonconformities, ICAS has reviewed and accepted the client's plan for correction and corrective actions;

4.4.8 为使ICAS做出认证决定，审核组至少应向ICAS提供以下信息：

a）审核报告；

b）对不符合的意见，适用时，还包括对客户采取的纠正和纠正措施的意见；

c）对提供给ICAS用于申请评审的信息的确认；

d）对是否达到审核目的的确认；

e）对是否授予认证的推荐性意见及附带的任何条件或评论。

如果ICAS不能在第二阶段结束后 6 个月内验证对严重不符合实施的纠正和纠正措施，则应在推荐认证前再实施一次第二阶段。

当客户是由另一个机构转换到ICAS时，ICAS应有过程获取充分的信息以做出认证决定。

In order for ICAS to make certification decision, audit team shall at least provide the following information for ICAS:

a) the audit report;

b) comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client;

c) confirmation of the information provided to the certification body used in the application review;

d) confirmation that the audit objectives have been achieved;

e) a recommendation whether or not to grant certification, together with any conditions or observations.

If ICAS is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, ICAS shall conduct another stage 2 prior to recommending certification.

When a transfer of certification is envisaged from another certification body to ICAS, ICAS shall have a process for obtaining sufficient information in order to take a decision on certification.

4.4.9 ICAS应根据再认证审核的结果，以及认证周期内的体系评价结果和认证使用方的投诉，做出是否更新认证的决定。

ICAS shall make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification.

4.5 保持认证 **Maintaining certification**

ICAS应在证实获证客户持续满足管理体系标准要求后保持对其的认证。ICAS满足下列前提条件时，可以根据审核组长的肯定性结论保持对客户的认证，而无需再进行独立复核和决定：

a) 对于任何严重不符合或其他可能导致暂停或撤销认证的情况，ICAS有制度要求审核组长向ICAS报告需由具备适宜能力且未实施该审核的人员进行复核，以确定能否保持认证；

b) 由具备能力的ICAS人员对ICAS的监督活动进行监视，包括对审核员的报告活动进行监视，以确认认证活动在有效地运作。

为保持认证而进行的监督、再认证的认证要求，ICAS通过制定各个管理体系的认证管理程序予以规定。

为保持认证而进行的特殊审核（扩大认证范围）、暂停、撤销或缩小认证范围的审核要求，ICAS通过制定《认证授予、拒绝、保持、变更、暂停、恢复、撤销控制程序》（ICASP11）予以规定。

ICAS shall maintain certification based on demonstration that the client continues to satisfy the requirements of the management system standard. It may maintain a client's certification based on a positive conclusion by the audit team leader without further independent review and decision, provided that:

a) for any major nonconformity or other situation that may lead to suspension or withdrawal of certification, ICAS has a system that requires the audit team leader to report to ICAS the need to initiate a review by competent personnel, different from those who carried out the audit, to determine whether certification can be maintained;

b) competent personnel of ICAS monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.

Certification requirements of surveillance and recertification designed for certification maintenance, ICAS specifies them by prepare certification management procedure of different management systems.

ICAS specifies audit requirements for special audit(expanding scope of certification), suspension, withdrawal or reduction of scope of certification in "Procedure for Granting, Refusing, Maintaining, Changing, Suspending, Restoring and Withdrawing Certification " (ICASP11).

4.5.1 监督 Surveillance activities

4.5.1.1 ICAS 制订各管理体系认证管理程序，以确保：

对已获证客户的监督活动进行设计，以便定期对管理体系范围内有代表性的区域和职能进行监视，并应考虑获证客户及其管理体系的变更情况。至少每年进行一次监督审核，初次认证后的第一次监督审核应在证书签发日起 12 个月内进行，之后的监督审核不超过上一次审核后 12 个月（且每个日历年应审核一次）。当已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，获证组织需提供相关证明。此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。

2）监督活动应包括对获证客户管理体系满足认证标准规定要求情况的现场审核。监督活动还可以包括：

a) ICAS就认证的有关方面询问获证客户；

b) 审查获证客户对其运作的说明（如宣传材料、网页）；

c) 要求获证客户提供文件化信息（纸质或电子介质）；

d) 其他监视获证客户绩效的方法。

ICAS prepares certification management procedures of different management systems to ensure:

The monitoring activities of licensed customers shall be designed to monitor representative areas and functions within the scope of the management system on a regular basis, and changes to the licensed customers and their management system shall be taken into account. Surveillance audit shall be conducted at least once a year. The first surveillance audit after initial certification shall be carried out within 12 months from the issuing day of certificate; the following surveillance audit shall be carried out no later than 12 months after last audit(and audit shall be carried out every calendar year). If it's meeting deadline of the surveillance audit and there is evidence showing certified organization is not qualified for surveillance audit yet, then certified organization shall provide relevant evidence. Meanwhile, surveillance audit period can be expanded properly but the gap shall be no longer than 15 months.

2）Surveillance activities shall include on-site auditing of the certified client's management system's fulfillment of specified requirements with respect to the standard to which the certification is granted. Other surveillance activities may include:

a) enquiries from the ICAS to the certified client on aspects of certification;

b) reviewing any certified client's statements with respect to its operations (e.g. promotional material, website);

c) requests to the certified client to provide documented information (on paper or electronic media);

d) other means of monitoring the certified client's performance.

4.5.1.2 监督审核 Surveillance audit

4.5.1.2.1 监督策划时需要安排现场审核，但不一定是对整个体系的审核，并应与其他监督活动一起策划，以使ICAS能对获证客户管理体系在认证周期内持续满足要求保持信任。监督计划应由ICAS制定，参考前次审核的审核发现，已审核的区域、场所及职能，与组织管理问题相适宜，并考虑内部审核的可信性。监督审核时间应征求客户同意，并加以记录以供国家认监委、认可委的审核。监督审核计划应包含下列内容：

1) 内部审核和管理评审；

2) 针对上次审核时确定的不符合项所采取的纠正措施的评审；

3) 顾客及相关方投诉的处理；

4) 任何变更，包括文件化体系的变更，变更涉及的区域，以及变化情况对体系运作有效性的影响；

5) 管理体系在实现获证客户目标和各管理体系的预期结果方面的有效性；

6) 为持续改进而策划的活动的进展；

7) 持续的运作控制；

8) 标志的使用和（或）任何其他对认证资格的引用。

9) 适当时，其它选定的区域；

实现质量、环境、职业健康安全及能源方针

以及为全面提高其管理绩效所策划的活动。

定期的合规性评价。

与外部相关方交流的信息及其回应。

证书及标志的使用情况和（或）任何其他对认证资格的引用。

能源管理绩效及变化情况，包括对能源管理绩效的量化评估：能源管理体系适用。

能源基准及标杆的变化情况：能源管理体系适用

10）体系变化和保持情况（HACCP适用）；

11）产品安全性情况（HACCP适用）；

12）法律法规的遵守情况（HACCP适用）。

Surveillance audits are on-site audits, but are not necessarily full system audits, and shall be planned together with the other surveillance activities so that ICAS can maintain confidence that the client's certified management system continues to fulfil requirements between recertification audits. ICAS shall make the surveillance plan, which should reference the last audit findings, audited areas, sites and functions, and it shall be appropriate to the management problems of the organization and consider the credibility of internal audit. The day for surveillance audit should be permitted by the client and record for the audit of CNCA and CNAS. The surveillance plan should include the following contents:

1) Internal audit and management review;

2) a review of actions taken on nonconformities identified during the previous audit;

3) Dealing with clients and interested parties' complaints;

4) Any changes including changes of documentation system and areas it involves, as well as effective impact it has on the system operation;

5) The effectiveness of management system in realizing the objective of certified client and intended results of respective management systems;

6) progress of planned activities aimed at continual improvement;

7) continuing operational control;

8) use of marks and/or any other reference to certification;

9) Other selected areas when appropriate.

Policy of realizing the quality, environment, occupational health and safety and energy

And the activities planned to improve the management performance comprehensively.

Regular compliance assessment

The information and the response with external relative parties

The using conditions of certificate and symbol and (or) any other reference of the certificate

qualification

Energy management performance and changing conditions, including the quantizing evaluation of energy management performance: applicable to the EnMS.

The changing condition of energy criterion and standards: applicable to the EnMS.

Change and maintenance of the system (HACCP applicable);

Product safety (HACCP applicable);

Compliance with the laws and regulations (HACCP applicable).

4.5.1.2.2 如发现体系或产品供方对产品、制造过程发生重大变更时或发生可能影响认证基础的变化时，应根据《认证授予、拒绝、保持、变更、暂停、恢复、撤销控制程序》（ICASP11）采取相应的措施，这种措施包括评价、复核和认证决定；对于导致暂停或撤销认证的不符合或其它情况，评定组长应向 ICAS 报告由具备适当能力且未参加该评定的人员进行复核以确定能否保持认证。

If there is significant change to the system, or products provider has made significant changes to products and manufacturing system, or there is change which may influence the certification base, corresponding actions should be taken according to the "Procedure for Granting, Refusing, Maintaining, Changing, Suspending, Restoring and Withdrawing Certification" (ICASP11). For nonconformity or other situation that may lead to suspension or withdrawal of certification, the actions include evaluation, review and certification decision. Audit team leader shall report to ICAS the need to initiate a review by competent personnel, different from those who carried out the audit, to determine whether certification can be maintained;

4.5.1.2.3 由独立的具有适当能力的人员对监督活动进行监视，包括对审核员的报告活动进行监视，以确认认证活动有效的运作。

Individual and competent personnel of the certification body monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.

4.5.1.2.4 监督审核报告应包含前次发现的每个不符合事项的整改情况。

Surveillance audit report shall include actions taken on nonconformities identified during the previous audit;

4.5.1.2.5 当对评价过的某类产品上持续使用其标志已进行授权时，ICAS 应通过监督机制定期评价加施标志的产品，以确认它们持续符合标准。

When accrediting the evaluated products on using the mark continuously, ICAS need to evaluate the marked products by oversight mechanisms regularly and ensure that they are continuously meet the standards.

4.5.1.2.6 当产品认证业务有监督活动时，其评价、复核或认证决定过程应符合管理程序中评价、复核或认证决定的要求。

When there is surveillance activities for the product certification, its evaluation, review or certification decision making process shall comply with the requirements for evaluation, review or

certification decision of management procedure.

4.5.1.2.7 根据获证企业及体系覆盖产品的风险，合理确定监督审核的时间间隔或频次。当体系发生重大变化或发生食品安全事故（或出现与食品安全相关的产品质量问题）时，ICAS可视情况增加监督审核的频次。必要时，监督审核应对产品的安全性进行验证（FSMS/HACCP认证适用）。

According to the risk of product covered by the system of the certified enterprise, determine the time gap or frequency of surveillance audit. When there are significant changes or food safety accidents(or product quality issues related to food safety) happen to the system, ICAS could increase frequency of surveillance audit depending on the circumstances. Surveillance audit shall verify the safety of the product (applicable to FSMS/HACCP certification).

4.5.1.3 不通知审核（仅新版HACCP适用）Unannounced audit (only applicable to HACCP certification).

在初次认证审核后，每三年策划实施一次不通知审核。不通知审核可结合监督审核或再认证审核进行，并在审核报告中注明审核类型为不通知审核。实施不通知审核，应提前与获证组织确定无法实施不通知审核的时间段，以避免审核时获证组织因季节性生产、维修等原因没有生产现场的情形。不通知审核可在审核前48小时内向获证组织提供审核计划，如因安全或签证问题不能按计划实施不通知审核时，应进行风险评估并对评估结果进行记录。

After the initial certification audit, an unannounced audit shall be planned and implemented every three years. Unannounced audits can be combined with surveillance audits or recertification audits, and the audit type shall be indicated in the audit report as unannounced audits. For the implementation of unannounced audits, the time period during which unannounced audits cannot be implemented shall be determined with the certified organization in advance to avoid the situation where the certified organization does not have a production site due to seasonal production, maintenance, etc. during the audit. Unannounced audits can provide an audit plan to the certified organization within 48 hours before the audit. If the unannounced audit cannot be implemented as planned due to security or visa issues, a risk assessment should be carried out and the assessment results should be recorded.

4.5.2 再认证 Recertification

4.5.2.1 再认证审核的策划 Recertification audit planning

对已获管理体系认证证书的客户至少每三年进行再认证的目的是确认管理体系作为一个整体的持续符合性与有效性，以及与认证范围的持续相关性和适宜性。 ICAS应策划并实施再认证审核，以评价获证客户是否持续满足相关管理体系标准或其他规范性文件的所有要求。上述策划和实施应及时进行，以便认证能在到期前及时更新。

再认证应对体系的上一个周期的绩效进行一次评价，再认证计划应考虑上述评价结果；

再认证应策划和实施再认证审核，以评价组织是否持续，满足相关管理体系标准和其他规范性文件的所有要求。确认管理体系作为一个整体的持续符合性与有效性，以及与认证范围的持续相关性和适宜性。

当获证客户管理体系或管理体系运作环境（如法律的变更）有重大变更时审核活动可能需要有第一阶段审核。

由具有适当能力的人员独立对再认证报告和客户信息进行评估，是否更新。

The purpose of the recertification audit at least once every three year is to confirm the continued conformity and effectiveness to of the management system as a whole, and its continued relevance and applicability for the scope of certification. ICAS shall plan and conduct recertification audit to evaluate the continued fulfillment of all of the requirements of the relevant management system standard or other normative document. This shall be planned and conducted in due time to enable for timely renewal before the certificate expiry date.

The recertification activity shall include the review of previous surveillance audit reports and consider the performance of the management system over the most recent certification cycle;

Recertification should plan and conduct recertification audit evaluate organization's continued fulfilment of all of the requirements of the relevant management system standard or other normative document. To confirm the continued conformity and effectiveness to of the management system as a whole, and its continued relevance and applicability for the scope of certification.

Recertification audit activities may need to have a stage 1 in situations where there have been significant changes to the management system, the organization, or the context in which the management system is operating (e.g. changes to legislation).

Competent personnel shall conduct independent evaluation of recertification report and client's information to determine whether to renew.

4.5.2.2 再认证审核 Recertification audits

4.5.2.2.1 再认证审核包括：

1) 结合内部和外部变更来看的整个管理体系的有效性，以及认证范围的持续相关性和适宜性；

2) 经证实的对保持管理体系有效性并改进管理体系，以提高整体绩效的承诺；

3) 管理体系在实现获证客户目标和管理体系预期结果方面的有效性。

Recertification audit includes:

 the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;

 demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;

the effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s).

4.5.2.2.2 发现不符合时， ICAS应规定实施纠正与纠正措施的时限。这些措施应在认证到期前得到实施和验证。

For any major nonconformity, ICAS shall define time limits for correction and corrective actions. These actions shall be implemented and verified prior to the expiration of certification.

4.5.2.2.3 如果在当前认证的终止日期前成功完成了再认证活动，新认证的终止日期可以基于当前认证的终止日期。新证书上的颁证日期应不早于再认证决定日期。

When recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of the new certification can be based on the expiry date of the existing certification. The issue date on a new certificate shall be on or after the recertification decision.

4.5.2.2.4 如果在认证终止日期前，ICAS未能完成再认证审核或不能验证对严重不符合实施的纠正和纠正措施，则不应推荐再认证，也不应延长原认证证书的有效期。ICAS应告知客户并解释后果。

If the certification body has not completed the recertification audit or ICAS is unable to verify the implementation of corrections and corrective actions for any major nonconformity prior to the expiry date of the certification, then recertification shall not be recommended and the validity of the certification shall not be extended. The client shall be informed and the consequences shall be explained.

4.5.2.2.5 在认证到期后，如果ICAS能够在 6 个月内完成未尽的再认证活动，则可以恢复认证，否则应至少进行一次第二阶段才能恢复认证。证书的生效日期应不早于再认证决定日期， 终止日期应基于上一个认证周期。

Following expiration of certification, ICAS can restore certification within 6 months provided that the outstanding recertification activities are completed, otherwise at least a stage 2 shall be conducted. The effective date on the certificate shall be on or after the recertification decision and the expiry date shall be based on prior certification cycle.

4.5.3 特殊审核 Special audit
4.5.3.1 扩大认证范围 Expanding scope

获证组织申请扩大认证范围时，应对扩大认证范围的申请进行评审，并确定任何必要的审核活动，以做出是否可予扩大的决定。这类审核活动可以和监督审核同时进行。

ICAS shall, in response to an application for expanding the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance audit.

4.5.3.2 提前较短时间通知的审核 Short-notice audits

ICAS 需要对调查投诉、变更需求做出回应或对被暂停的客户进行追踪时，可能需要在提前较短时间通知获证客户后对其进行审核。ICAS 在认证合同中将此类审核予以说明；派遣审核组时，应特别要考虑公正性的问题。

It may be necessary for ICAS to conduct audits of certified clients at short notice or unannounced to investigate complaints, or in response to changes, or as follow up on suspended clients. ICAS shall describe this kind of audit in the certification agreement. Issue of impartiality shall be taken into consideration when assigning audit team.

4.5.4 补充审核 Supplementary Audit

如果因受审核方或机构自身原因，需要进行全面或部分的补充审核，应由注册部及时开具《补充审核通知书》并同时审核调度和受审核方。补充审核的记录应按要求形成并保留。

If full or partial supplementary audit is required due to the reasons of auditee or organization itself, the registration department shall issue 'supplementary audit notice' in time and conduct the audit. The record of supplementary audit shall be documented and kept as required.

4.5.5 终止、暂停、撤销或缩小认证范围 Termination, suspending, withdrawing or reducing the scope of certification

4.5.5.1 ICAS编制《认证授予、拒绝、保持、变更、暂停、恢复、撤销控制程序》（ICASP11）文件，用以规定发生以下情况后机构应采取的措施：

1）客户的获证管理体系持续地或严重地不满足认证要求，包括对管理体系有效性的要求；
2）获证客户不履行合同义务；

3）获证客户主动请求暂停；

4）获证客户被有关执法监管部门责令停业整顿；

5）获证客户持有的与质量管理体系范围有关的行政许可证明、资质证书、强制性认证证书等过期失效，重新提交的申请已被受理但尚未换证。

ICAS prepares "Procedure for Granting, Refusing, Maintaining, Changing, Suspending, Restoring and Withdrawing Certification "（ICASP11）to specify actions to take when the following situations happen:

1)the client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system;

2) certified client does not fulfill contractual obligations;

3) certified client has voluntarily requested a suspension;

4) certified client is ordered to stop operation for rectification by law enforcement and supervision department;

5) Administrative licensing evidence, qualification certificate, mandatory certification certificate with respect to quality management system scope hold by certified client are expired, and new application has been accepted but certificate has not changed.

4.5.5.2 在暂停期间，客户的管理体系认证暂时无效。

Under suspension, the client's management system certification is temporarily invalid.

4.5.5.3 如果造成暂停的问题已解决，ICAS应恢复被暂停的认证。如果客户未能在最长6个月的期限内解决造成暂停的问题，ICAS应撤销或缩小其认证范围。

ICAS shall restore the suspended certification if the issue that has resulted in the suspension has been resolved. Failure to resolve the issues that have resulted in the suspension within 6 months shall result in withdrawing or reducing the scope of certification.

4.5.5.4 如果客户在认证范围的某些部分持续地或严重地不满足认证要求，ICAS应缩小其认证范围，以排除不满足要求的部分。认证范围的缩小应与认证标准的要求一致。

ICAS shall reduce the scope of certification to exclude the parts not meeting the requirements, when the certified client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification. Any such reduction shall be in line with the requirements of the standard used for certification.

4.5.5.5 如果终止（应客户要求）认证，ICAS 将根据与客户方达成的协议，形成终止（注销）认证通知书，发放给客户方，并对已授予客户方的正式认证文件、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产品仍持续获得认证。

If certification is terminated (at the request of the customer), ICAS certification will be subject to the agreement with the customer, issue the notice of certification termination (cancellation) to the customer. It shall make necessary changes to the official certification documents that have been awarded to the customer, the information published, authorization of the use of marks, to ensure that no information shows that the product still has the certification.

4.6 证书及标志的使用 Use of certificate and mark

4.6.1 当ICAS获得了充分的客观证据证明申请组织满足下列要求的，评定该申请组织符合认证要求，向其颁发认证证书：

（1）申请组织的管理体系符合标准要求且运行有效。

（2）认证范围覆盖的产品或服务符合相关法律法规要求和认证实施规则/认证方案的要求。

（3）申请组织按照认证合同规定履行了相关义务。

　　申请组织不能满足上述要求的，评定该申请组织不符合认证要求，以书面形式告知申请组织并说明其未通过认证的原因。

　　认证文件和标志的生效日期及内容，以及其所有权、使用和展示要求，应符合《认证证书及标识的控制程序》中的规定。

　　认证文件由ICAS总经理或其指定的负责人签名或后方可有效。正式的认证文件应仅在下列事项完成之后或同时颁发：

　　a)批准或扩大认证范围的决定已经做出；

　　b)认证要求得到满足；

　　c)认证协议已经完成和（或）签署。

　　ICAS在颁发认证证书后，应在30个工作日内按照规定的要求将相关信息报送国家认监委。

　　When ICAS has obtained adequate evidence to prove that the organization meets the following requirements, then the organization is evaluated according to certification requirements and certificate would be issued：

1)The management system of the applicant complies with the standard requirements and operates effectively.

2) The product or service covered by the certification scope is in compliance with relevant statutory and regulatory requirements as well as requirements for certification enforcement regulations/certification scheme..

3) The applicant shall fulfill its duties regards to the certification agreement.

　　If the applicant fails to meet the above requirements, it is evaluated as unsatisfied to the certification requirements. The applicant shall be informed in written form and explained the reason for not passing the certification.

　　The effective date, content, ownership, usage and display requirements for the certification document and mark shall be complied with the regulations in '*Control procedure of certification certificate and mark*'.

　　Certification document is only valid after signed by ICAS managing director or the appointed person. The formal certification document is issued after or when the following matters are all completed:

a) the decision of approving or expanding certification scope has been made;

b) certification requirements has been met;

c) Certification agreement is completed and (or) signed.

The effective date, content, ownership, usage and display requirements for the certification document and mark shall be complied with the regulations in 'Control procedure of certification certificate and mark'.

After issuing the certificate ICAS should submit the relevant information to CNCA within 30 workdays in accordance with requirements.

4.6.2

a）确保为每个获得管理体系认证和相关产品的产品认证的客户提供认证文件,如授权人员签署的信件(认证未被批准时)或认证证书(认证被批准时)。这些文件应表明认证所覆盖的客户及其每个场所的：

批准的认证范围，包括：

　　1) 认证所依据的标准和/或其它规范性文件；

　　2) 适当时，产品、过程或服务的类别；

　　3) 提供产品所依据的法规要求、产品标准或其他规范性文件。

　　4) 认证产品供方的名称和地址；

　　5) 批准认证的范围，适用时包括：

　　　获得认证的产品， 可以按产品的类型或系列划分 ；

　　　每一或每类产品获得认证所依据的产品标准或其他规范性文件；

　　　采用的认证制度 。

b)认证证书的生效日期应从 ICAS 做出正式决定日期开始计算。认证证书上明确有效期，建议与再认证安排一致，但不强制。

c)产品认证证书的内容中应包含认证方案要求的任何其他信息。

a）Ensure that each client with management system certification and relevant products' certification should be provided with certification document, for example, letter (when certification is not approved) or certificate (when certification is approved) signed by the authorization. These documents should demonstrate the client and each site covered by certification：

The approved scope of certification includes：

1) Standards and/or other normative documents served as the basis for the certification;

2) Category of product, process or service when applicable;

3) Provide legal requirements product standard or other normative document which the product complies with;

4) Name and address of suppliers of the certified products;

5) Approved scope of certification, when applicable it includes:

　　For certified products, classify according to product type or series;

　　Standards and/or other normative documents served as the basis for each type of product which has been certified;

　　Applied certification system.

b) The certificate comes into force the moment ICAS makes the formal decision. Valid date is specified on the certificate which is recommended but not forced to be consistent with recertification arrangement,

c) The content of product certification certificate shall include any other information required by the certification scheme.

4.6.3 ICAS 制定《认证证书及标志的控制程序》（ICASP08）就证书的内容、获证客户如何使用认证标志等要求作出说明，应注意：

a) 在管理体系证书的范围说明或相关场合中不宜引用有关的产品所依据的法规、标准或其它规范性文件，以避免误导产品或服务使用者；也不能利用产品认证证书和相关文字、符号误导公众认为其服务、管理体系通过认证；

b) 管理体系认证证书有效期为 3 年；有关认可的管理体系认证的转换的有效期在《已认可的管理体系认证的转换程序》（ICASP01）依据 CNAS-CC12：2018《已认可的管理体系认证的转换》给予明确。

产品认证证书有效期根据产品特性，在产品认证实施规则中予以规定。

c) 已认可的认证证书应清楚地注明认可机构和 ICAS 的名称。

d）ICAS 应对许可证、认证证书和认证标志的所有权、使用和展示进行适当的控制。

e) 对于在广告、产品目录等形式中发现的对认证制度的不正确地引用，或者对许可证、认证证书或认证标志的误导性使用，应采取适当的措施进行处理。

f) ICAS 不允许将其标志用于实验室的测试和校准报告上，因为在上述情形下这种报告被视为产品。

"Certification and mark control procedures" (ICAS P08) formulated by ICAS clearly states that the content of the certificate, and how do the certified client use the certification mark, etc, it should be noted:

a) An explanation of the scope of the management system certificate should be made. Or regulations, standards or other normative documents served as the basis for the inappropriateness to quote relevant product on certain occasions so as not to mislead the product or service user; and cannot using product's authentication certificate, related character and symbols mislead public certificate its service and management system;

b) The certification certificate of management system is valid for three years; As for the valid period of transfer of accredited management system certification is clarified in "*The Conversion Procedure of Accredited Management System Certification*" (ICASP01) based on CNAS-CC12:2018 "*The Conversion of Accredited Management System Certification*".

The expiry date of the product certification certificate shall be specified in the enforcement regulations of product certification according to the product features.

c) The certification certificate that has been accredited shall note the name of accreditation organization and ICAS clearly;

d）ICAS should control the license, authentication certificate and the ownership, usage and demonstration of certification mark;

e） ICAS should take appropriate actions to deal with the incorrectly quote for certification system in advertisement and product summary and misleading use of authentication certificate or certification mark.

f) ICAS does not permit its marks to be applied to laboratory test and calibration report, because under the above circumstance, these reports are considered as product.

4.6.4 《认证决定程序》（ICASP10）为获准认证范围的更改申请的处理制定评审步骤,以决定是否批准或更改并依次执行。

"*Certification Decision Procedure"* (ICASP10) sets the review steps for the application of change to the approved certification scope, so as to decide whether the change can be approved and carry out accordingly.

4.6.5 ICAS 制订《认证证书及标志使用的控制程序》（ICASP08）对认证证书、标志标徽的所有权、使用及展示进行控制。

 '*Controlling Procedure of the Use of Certificate and mark'* (ICASP08) is formulated by ICAS to control the ownership, use and display of certification certificate and mark 。

4.6.6 ICAS 在认证合同中包含有关正确使用认证证书、标志、标徽使用的条款。认证证书和认证标志的使用规则，应随证书一同发放给获证客户，以使其知晓使用规则。

The certification agreement shall include the clauses of the proper use of certification certificate, mark and logo. The use guideline of certification certificate and mark shall be distributed to the client along with the certificate in order to inform them about the use requirements.

4.7 申诉、投诉 Appeals and complaints

4.7.1 认证申请方、供方或其它各方对ICAS的申诉、投诉及争议按照《申诉、投诉、争议程序》（ICASP06）给予解决。申诉处理过程的说明应可公开获取。

Appeals, complaints and disputes of certification applicants, external providers or other parties should be settled according to the *Appeal, Complaint and Dispute Handling Procedure* (ICASP06). Dealing process of appeal shall be made accessible to the public.

4.7.2 该程序以及时、富有建设性的方式对申诉、投诉及争议给予解决,并确保：

告知申投诉方已收到正式的投诉或申诉。

负责收集和验证所有必要的信息（尽可能）以推进投诉或申诉的解决。

为确保没有利益冲突，曾为客户提供过咨询或曾被客户聘用过的人员（包括承担管理职责的人员），在结束咨询或聘用关系两年之内，ICAS不应派其对投诉或申诉的解决进行复核或批准。

只要可能，应将申诉（投诉）处理结果和过程终止正式通知申诉人（投诉人）。

为解决投诉或申诉，应采取所需的所有后续措施。

记录并保存有关的申诉、投诉和争议以及补救的记录；

在两年内直接参与了与申诉、投诉或争议涉及到的组织或任何其它方提供过CNAS-CC01_2015（ISO/IEC17021-1：2015）9.7，9.8条，及CNAS-CC02：2013（ISO/IEC 17065:2012）7.13.6描述的活动的人员(包括管理岗位人员)都不参与调查申诉、投诉或争议；

采取适当的纠正和预防措施并形成文件；

评审纠正与预防措施实施的有效性。

This procedure settles appeal, complaint and dispute timely and constructively, and ensures that:

  Acknowledge the appellant or complaint the formal receipt of the appeal or complaint.

All essential information (if possible) shall be gathered and verified in order to promote the settlement of appeal or complaint.

  To ensure there will be no interest conflicts, personnel who have provided consultancy for the client or have been employed by the client (including personnel who takes management function), ICAS shall not assign them to do the review or approval work on the appeal or complaints within two year after the consultancy or employment relations end.

Whenever possible, ICAS shall give handling results and formal notice of the end of appealing(complaints)-handling process to the appellant(complaint).

In order to settle appeal or complaint, all follow-up actions shall be taken.

Record and keep all records that is to do with appeal, complaint and dispute as well as remedy;

Staff (including the management staff) engaged directly within two years in the activity of organization involved in appeal, complaint or dispute or in the activity, provided by other parties, described in the clauses of 9.7 and 9.8 in CNAS-CC01_2015（ISO/IEC17021-1：2015） and 7.13.6 in CNAS-CC02：2013（ISO/IEC 17065:2012）can't participate in the investigation of appeal, complaint or dispute;

Take appropriate corrective and precautionary actions and document.

Review the effectiveness of corrective and preventative actions.

4.8 客户的记录 Client Records

4.8.1 ICAS应对所有客户（包括所有提交申请的组织、接受审核的组织和获得认证或被暂停或撤销认证的组织）保持审核及其他认证活动的记录。该记录信息应该有且不仅限于：客户的名称、相关的规范性文件、认证范围和获证组织所在地理位置、是否有多场所、是否有子证书等。但该目录一般不公开，只有获得请求时才提供。

ICAS shall maintain records on the audit and other certification activities for all clients (including all organizations that submitted applications, and all organizations audited, certified, or with certification suspended or withdrawn). The record information shall include but not limited to: name of the client, relevant normative documents, scope of certification and geographical location of certified organization, whether there is multi-site and whether there is electrical certificate etc. However, this catalogue remains private which shall only be provided on request.

4.8.2 获证客户记录应包括以下内容：

  1. 申请资料及初次认证、监督和再认证的审核报告；

2. 认证协议；

3. 抽样方法的理由；

4. 确定审核时间的理由；

5. 纠正与纠正措施的验证；

6. 投诉和申诉及任何后续纠正或纠正措施的记录；

7. 适用时，委员会的审议和决定；

8. 认证决定的文件；

9. 认证文件，包括客户名称、认证范围和地理位置，与产品（包括服务）、过程相关的认证范围，适用时，包括每个场所相应的认证范围；

10. 建立认证的可信度所需的相关记录，如审核员和技术专家能力的证据；

11. 审核方案。

Record on certified clients shall include the following:

a) application information and initial surveillance and recertification audit report ;

b) certification agreement;

c) justification of the methodology used for sampling;

d) justification for auditor time determination;

e) verification of correction and corrective actions;

f) records of complaints and appeals, and any subsequent correction or corrective actions;

g) committee deliberations and decisions, if applicable;

h) documentation of the certification decisions;

i) certification documents, including client name, scope of certification and geographic position, scope of certification with respect to products(including services) and process, including relevant scope of certification of each site as applicable;

j) related records necessary to establish the credibility of the certification, such as evidence of the competence of auditors and technical experts.

k) audit programme.

4.8.3 ICAS应保证申请组织和客户记录的安全，以确保满足保密要求。运送、传输或传递记录的方式应确保保密。

ICAS shall keep the records on applicants and clients secure to ensure that the information is kept confidential. Records shall be transported, transmitted or transferred in a way that ensures that confidentiality is maintained.

4.8.4 ICAS应有关于记录保存的形成文件的政策和程序《记录控制程序》。获证客户及以往获证客户的记录保存期应为当前认证周期加上一个完整的认证周期。

ICAS has the documented policy and documented procedures 'Record Control Procedure' on the retention of records. Records of certified clients and previously certified clients shall be retained for the duration of the current cycle plus one full certification cycle.

5. 引用标准 Reference Standards

CNAS-CC01_2015 (ISO/IEC 17021-1：2015) 管理体系认证机构要求

CNAS-CC02_2013 产品、过程和服务认证机构要求

CNAS-CC11_2018 (IAF MD1) 多场所组织的管理体系审核与认证

CNAS-CC12_2018 (IAF MD2) 已认可的管理体系认证的转换

CNAS-CC105_2020 (含IAF MD5:2019) 确定管理体系审核时间(QMS、EMS、OHSMS)

CNAS-CC170_2024 信息安全管理体系认证机构要求

CNAS-CC18_2014 食品安全管理体系认证机构要求

CNAS-CC190_2021 能源管理体系认证机构要求

CNAS-SC15_2018 工程建设施工企业质量管理体系认证机构认可方案

CNAS-SC125_2020(IAF MD22:2018) 职业健康安全管理体系认证机构认可方案

CNAS-SC170 2024 信息安全管理体系认证机构认可方案

CNAS-SC190_2021 能源管理体系认证机构认可方案

CNAS-SC185:2021 危害分析与关键控制点（HACCP）体系认证机构认可方案

CNAS-CC106_2014 CNAS-CC01在一体化管理体系审核中的应用

CNAS-CC140:2018 资产管理体系审核 及 认证 的 能力要求

CNAS-SC140:2018 资产管理体系认证机构认可方案

GB/T 33173 《资产管理 管理体系 要求》（ISO 55001）

GB/T 33174 《资产管理 管理体系 GB/T 33173 应用指南》（ISO 55002）

GB/T 33172 《资产管理 综述、原则和术语》（ISO 55000）

ISO 37001-2016 反贿赂管理体系要求及使用指南

ISO IEC TS 17021-9 2016 反贿赂审核与认证能力要求

GB／T 35770-2022 合规管理体系 要求及使用指南

IAF MD 9:2017 IAF强制性文件ISO/IEC17021在医疗器械质量管理体系中应用

GB/T 27000-2006 (ISO/IEC 17000：2004 IDT)；合格评定 词汇和通用原则

GB/T 19011-2013 (ISO19011：2011 IDT)；管理体系审核指南

GB/T 27067-2006(ISO/IEC Guide67:2004) 合格评定 产品认证基础

GB/T 27204-2017（ISO/IEC TS 17023:2013）《合格评定 确定管理体系认证审核时间指南》

GB/T 27030-2006(ISO/IEC 17030：2003) 合格评定 第三方符合性标志的通用要求

GB/T 27023-2008(ISO/IEC Guide23:1982) 第三方认证中标准符合性的表示方法

GB/T 27027-2008(ISO/IEC Guide27:1983) 认证机构对使用其符合性标志采取纠正措施的实施指南

质量管理体系认证规则（2016年10月1日）（国家认监委）

能源管理体系认证规则（2014年5月31日）（国家认监委）

食品安全管理体系认证实施规则（CNCA-N-007：2021）

危害分析与关键控制点（HACCP）体系认证实施规则（CNCA-N-008：2011）

危害分析与关键控制点（HACCP）体系认证实施规则（CNCA-N-001：2021）

信息技术服务服务管理体系认证实施规则

CNAS-CC01_2015 （ISO/IEC 17021-1：2015) *Requirements for Bodies Providing Audit and Certification of Management Systems*

CNAS-CC02_2013 *Requirements for Bodies Certifying Product, Process and Service*

CNAS-CC11_2018 (IAF MD1) *The audit and certification of a management system operated by a Multi-Site organization*

CNAS-CC12_2018 (IAF MD2) *The Transfer of Accredited Certification of Management Systems*

CNAS-CC105_2020 (IAF MD5:2019) *Duration of Management System Audit (QMS, EMS, OHSMS)*

CNAS-CC170_2024*Requirements for Information Security Management System Certification Bodies*

CNAS-CC18_2014 *Requirements for Food Safety Management System Certification Bodies*

CNAS-CC190_2021 *Requirements for Energy Management System Certification Bodies*

CNAS-CC175_2015 *Requirements for Bodies Providing Audit and Certification of Information Technology Service Management Systems* (second revision of 2015)

CNAS-SC15_2018 *Accreditation Scheme of Quality Management System Certification Institution for Construction Enterprises*

CNAS-SC125_2020 IAF MD 22:2018 *Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS)*

CNAS-SC185:2021 Accreditation Scheme for HACCP Management System Certification Bodies

CNAS-CC106_2014 *The application of CNAS-CC01 in audit of integrated management system*

CNAS-CC140:2018 Competency Requirements for Auditing and Certification of Asset management Systems

CNAS-SC140:2018 Accreditation programme for asset management system certification bodies

GB/T 33173 Requirements for Asset Management Management System (ISO 55001)

GB/T 33174 Asset Management Management System GB/T 33173 Application Guide (ISO 55002)

GB/T 33172 Asset management Overview, principles and terminology (ISO 55000)

ISO 37001-2016 Anti-Bribery Management System Requirements and Guidance for Use

ISO IEC TS 17021-9 2016 Competence Requirements for Anti-Bribery Auditing and Certification

GB/T 35770-2022 Compliance Management System Requirements and Guidance for Use

IAF MD 9:2015 Application of ISO/IEC 17021 in the Field of Medical Device Quality Management Systems (ISO 13485)

GB/T 27000-2006 (ISO/IEC 17000：2004 IDT)*Conformity Assessment - Vocabularies and General Principles*

GB/T 19011-2013 (ISO19011：2011 IDT)*Guidelines for Quality and/or Environmental Management Systems Auditing*

GB/T 27067-2006(ISO/IEC Guide67:2004) *Conformity Assessment - Fundamentals of Product Certification*

GB/T 27204-2017（ISO/IEC TS 17023:2013）*Conformity assessment – Guidelines for determining the duration of management system certification audits.*

GB/T 27030-2006(ISO/IEC 17030：2003) *Conformity Assessment - Conformity Assessment - General Requirements for Third-Party Marks of Conformity*

GB/T 27023-2008(ISO/IEC Guide23:1982) *Methods of Indicating Conformity with Standards for Third-party Certification Systems*

GB/T 27027-2008(ISO/IEC Guide27:1983)*Guidelines for Corrective Action to be Taken by a Certification Body in the Event of Misuse of its Mark of Conformity*

Rules for the Certification of Quality Management System (1st October 2016)   (CNCA)

Rules for the Certification of Energy Management System (31st May 2014)   (CNCA)

Food Safety Management Systems Implementation Rule（CNCA-N-007：2021）

HACCP *Systems Implementation Rule*（CNCA-N-008：2011）

HACCP *Systems Implementation Rule*（CNCA-N-001：2021）

ITSMS *Implementation Rule*

6. 相关程序文件 Relevant Procedure Documents

本手册与以下程序文件相关联：

《QMS,EMS,OHSMS认证管理程序》（ICASP03）

《EnMS认证管理程序》（ICASP24）

《产品认证管理程序》（ICASP23）

《ITSMS认证管理程序》（ICASP25）

《ISMS认证管理程序》（ICASP26）

《FSMS/HACCP体系认证管理程序》（ICASP27）

《已认可的管理体系认证的转换程序》（ICASP01）

《人员资格、聘用、培训及监控程序》（ICASP02）

《文件控制程序》（ICASP04）

《记录控制程序》（ICASP05）

《申诉、投诉、争议程序》（ICASP06）

《内审、管理评审》（ICASP07）

《认证证书及标志的控制程序》（ICASP08）

《分包程序》（ICASP09）

《认证决定程序》（ICASP10）

《认证授予、拒绝、保持、变更、暂停、恢复、撤销控制程序》（ICASP11）

《人员能力管理程序》（ICASP12）

《纠正措施管理程序》（ICASP17）

《认证风险识别与管理程序》（ICASP18）

《反贿赂管理体系认证管理程序》　（ICASP57）

《合规管理体系认证管理程序》　　（ICASP58）

《资产管理体系认证管理程序》　　（ICASP36）

This manual relates to the following procedure documents:

a) *QMS,EMS* and *OHSMS Certification Management Procedure*（ICASP03）

b) *EnMS Certification Management Procedure*（ICASP24）

c) *Product Certification Management Procedure*（ICASP23）

d) *ITSMS Certification Management Procedure*（ICASP25）

d) *ISMS Certification Management Procedure* (ICASP26)

e) FSMS/HACCP System *Certification Management Procedure* （ICASP27）

f)   *The Transfer of Accredited Certification of Management System* (ICASP01)

g)   Personnel *Qualification, Employment, Training and Monitoring Procedure*（ICASP02）

h)   *Document Control Procedure*（ICASP04）

i)   *Record Control Procedure*（ICASP05）

j)   *Appeal, Complaint and Dispute Handling Procedure*（ICASP06）

k)   *Internal Audit and Management Review* (ICASP07)

l)   *Controlling Procedure of Certificate and mark* (ICASP08)

m)   *outsourcing Procedure*（ICASP09）

n)   *Certification Decision Procedure* (ICASP10)

o) *Procedure for Granting, Refusing, Maintaining, Changing, Suspending, Restoring and Withdrawing Certification* （ICASP11）

p)   *Personnel Competence Management Procedure*（ICASP12）

q)   *Management Procedure of Corrective Action* （ICASP17）

r)   *Certification Risk Identification and Management Procedure* (ICASP18)

s）Anti-Bribery Management System Certification Management Procedure （ICASP57）

t）Compliance Management System Certification Management Procedure （ICASP58）

u）Asset Management System Certification Management Procedure （ICASP36）

7. 附件 Annex

为了对本文件作必要的补充说明,本手册附以下附件：
《组织结构及职责权限说明》（AM0101）。

To make a necessary supplementary explanation of this document, the following annex is attached:
Statement of Organization Structure and Responsibilities and Authorities (AM0101)