

**上海英格尔认证有限公司****Shanghai Ingeer Certification Assessment Co., Ltd.****认证授予、拒绝、保持、变更、  
暂停、恢复、撤销程序****Procedure for granting, refusing, maintaining, changing,  
suspending, restoring and withdrawing certification**

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# 认证授予、拒绝、保持、变更、暂停、恢复、撤销程序

## 1 目的 Objective

旨在保证英格尔（ICAS）授予、拒绝、保持、变更、暂停、恢复、撤销认证注册资格的工作符合规定要求以及签发的证书能正确使用。

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

## 2 适用范围 Scope of application

对 ICAS 所颁发证书的授予、拒绝、保持、变更、暂停、恢复、撤销的管理。

Management of the granting, refusing, maintaining, changing, suspending, restoring and withdrawing of certificates issued by ICAS.

## 3 职责和权限 Responsibilities and authorities

3.1 注册部负责证书的授予、拒绝、保持，扩大、缩小、暂停及撤销决定的协调管理；

Registration department is responsible for the coordination management in related to decisions on granting, refusing, maintaining, expanding, reducing, suspending and withdrawing of certificate;

3.2 总经理负责对证书的授予、拒绝、保持，扩大、缩小、暂停及撤销的确认；

Managing director is responsible for the confirmation of granting, refusing, maintaining, expanding, reducing, suspending and withdrawing of certificate;

3.3 市场部负责证书以及暂停、恢复和撤销通知书的发放。

Market Department is responsible for issuing certificates and notice of suspension, restoring and withdrawal.

## 4 程序 Procedure

### 4.1 管理体系认证证书的授予 Granting of management system certificates

4.1.1 申请认证的组织在 ICAS 对其实施了必须的评审后，符合以下条件，ICAS 将作出批准注册的决定。

1) 具备以下条件：

a. 取得合法主体资格，并处于有效期内；

b. 取得相关法律法规规定的行政许可（适用时），并处于有效期内；

c. 已按认证标准建立管理体系，且运行满三个月；

d. 因获证组织自身原因被原发证机构暂停或撤销认证证书已满一年（适用时）；

e. 原管理体系认证证书发证机构被国家认监委撤销管理体系认证资质已满三个月（适用时）；

f. 当前未被行政监管部门责令停产停业整顿；

g. 当前未列入“国家企业信用信息公示系统”和“信用中国”发布的严重违法失信名单；

h. 一年内未发生被行政监管部门责令停产停业整顿的重大质量事故；

i. 一年内申请认证范围内的产品未发生产品质量国家监督抽查不合格，或发生产品质量国家监督抽查不合格但已按相关规定整改合格；

j. 其他应具备的条件。

2) 对于严重不符合，已评审、接受并验证了纠正措施的有效性；对于轻微不符合，已评审、接受了认证委托人的纠正措施或计划采取的纠正措施；

3) 认证委托人的符合标准要求且运行有效；

## 认证授予、拒绝、保持、变更、暂停、恢复、撤销程序

4) 认证委托人按照认证合同规定履行了相关义务。

After ICAS conducts necessary review to the organization applying for certification and once the following requirements are met, ICAS will make a decision on the approval of registration.

1) Meet the following conditions:

a. Obtain legal entity status and ensure it remains valid within the stipulated period;

b. Obtain the administrative permits required by relevant laws and regulations (where applicable) and ensure they remain valid;

c. A management system has been established in accordance with the certification standards and has been in operation for at least three months;

d. The certification certificate has been suspended or revoked by the original issuing authority due to the reasons of the certified organization itself for a period of one year (if applicable);

e. The original management system certification issuing body has been revoked of its management system certification qualification by the CNCA for more than three months (if applicable);

f. Currently not ordered by administrative regulatory authorities to suspend production or cease operations for rectification;

g. Currently not included in the list of serious illegal and dishonest entities published by the "National Enterprise Credit Information Publicity System" and "Credit China.";

h. No major quality accidents resulting in administrative orders for production suspension or business rectification within the past year;

i. Within one year, no product within the certified scope has failed national quality supervision spot checks, or if it did, it has been rectified and passed according to relevant regulations;

j. Other required conditions.

2) For serious nonconformities, the effectiveness of corrective actions has been reviewed, accepted, and verified; for minor nonconformities, the corrective actions or planned corrective actions taken by the certified client have been reviewed and accepted;

3) The certification applicant meets the standard requirements and operates effectively;

4) The certification applicant has fulfilled the relevant obligations as stipulated in the certification contract.

4.1.2 收到审核组上报的审核材料后，注册部经理根据总经理批准的认证决定人员清单协调人员按《认证决定表》（FP1086）要求对上报审核档案以及审核以外得到的信息，如投诉、市场反馈等进行评定，参与评定的人员必须为非审核人员，认证决定人员作出认证决定后交注册部，注册部对认证决定过程进行再次确认无误后，由注册部报总经理。

Upon receipt of audit materials submitted by Audit Team, on the basis of list of decision-makers approved by Management Committee, the registration manager should coordinate staff according to the requirement of "Checklists of certification decision" (FP1086) who assess audit files submitted and the information gained from the sources other than audit, such as complaints, market feedback and so on. The personnel who participates in assessment must not be auditors. Certification decision made by certification decision personnel should be submitted to Registration Department and Registration Department re-confirms that the process of certification decision is without error. Then the certification decision is delivered to General Manager by the Registration Department.

4.1.3 由注册部制作证书中英文各一份，总经理予以签发。

The Registration Department should make an English copy and Chinese copy of the certificate, issued by the General Manager.

4.1.4 所有发放的证书由注册部留一份复印件，保存在审核档案中。Registration Department should keep a copy of all certificates issued for storing it in audit files.

4.2 产品认证注册资格的授予 Granting of product certification registration qualification

## 认证授予、拒绝、保持、变更、暂停、恢复、撤销程序

4.2.1 申请认证的組織在英格尔对其实施了必须的评审后，符合以下条件，英格尔将作出批准注册的决定。

- a) 是具有法律地位的组织，或是具有法律地位较大组织的一部分；
- b) 国家或地方或行业有要求时，认证申请方具有规定的资质；
- c) 认证申请方申请认证范围在法律地位文件和资质规定的范围内；
- d) 认证申请方的申请材料真实、准确、有效；
- e) 认证申请方已与 ICAS 签署认证合同，承诺始终遵守认证及 ICAS 的有关规定，并按照认证合同规定缴纳认证费用。
- f) 认证申请方申请认证的产品符合相关产品标准及认证规则的要求；
- g) 组织应积极遵守国家有关产品质量、环境、职业健康安全法律法规和标准，对于存在违规现象的，需采取纠正措施，且方案正在得到落实；
- h) 认证之日前一年内（至少），未发生过重大的违反法律法规、人身安全的事故（例如重大质量/环境/安全事故）；

——获证方在认证证书有效期内按期接受监督。

——再认证的现场审核及不符合项关闭在原证书有效期内实施完成。

After ICAS has conducted necessary review to the applicant and the following requirements have met, ICAS will make a decision on the approval of registration.

- a) The organization has legal status, or a large portion of the organization has legal status;
- b) Certification applicant possesses stipulated qualifications when there are requirements by the country or local or industry;
- c) The scope of certification (recertification) that certification applicant applies for is within the stipulated scope of legal status files and qualifications;
- d) Application materials of certification applicant are true, accurate and effective;
- e) Certification applicant has signed certification (recertification) contract with ICAS, promises that he will comply with the related regulations of certification and ICAS, and pay certification fees in accordance with the provisions of the certification agreement.
- f) Management system established and implemented by certification applicant conforms to the requirements of certification standards;
- g) The organization should actively comply with the relevant national laws, regulations and standards of product quality, environment and occupational health and safety. For the organization having the behavior of violations, corrective actions should be taken and the scheme is being implemented.
- h) In the year before the day of certification (at least), major violations of laws and regulations or safety accident have not occurred (such as significant quality/environmental/safety accidents).

—— The certificated organization should accept surveillance on time in the validity of the certificate.

—— On-site audit of recertification and the closure of nonconformities should be completed in the validity of the original certificate.

4.2.2 收到产品认证检查组上报的评审材料后，注册部经理根据管理委员会批准产品认证的认证决定人员清单协调人员按《产品认证评审表》要求对上报档案以及得到的信息，如投诉、市场反馈等进行评定，参与评定的人员必须为非检查/评价人员，产品认证决定人员作出认证决定后交注册部，注册部对认证决定过程进行再次确认无误后，由注册部报总经理批准。注册部制作证书中英文各一份，总经理予以签发。

Upon receipt of review materials submitted by Audit Team, the registration manager should assign staff from list of certification decision makers for product certification that has been approved by

## 认证授予、拒绝、保持、变更、暂停、恢复、撤销程序

management committee to assess the audit files submitted and the information gained such as complaints, market feedback and so on according to the requirements of “Product Certification Review Form”. The personnel who participates in assessment must not be auditors. Certification decision made by product certification decision personnel should be submitted to the Registration Department, and the Registration Department re-confirms the process of certification decision. Then the certification decision is delivered to the General Manager by the Registration Department. Registration Department should make a certificate both in Chinese and English edition, issued by the General Manager.

4.2.3 所有发放的证书由注册部留一份复印件，保存在审核档案中。

Registration Department should keep a copy of all issued certificates for storing it in audit files.

### 4.3 认证的拒绝 Refusal of certification

4.3.1 当认证条件或认证结果不符合本文 4.1 或 4.2 的要求时，ICAS 将拒绝授予认证。

注：有机产品认证拒绝授予认证的条件，应满足有机产品认证实施规则的要求。

ICAS would refuse to grant the certification if certification condition or results do not comply with clause 4.1 or 4.2 of this document.

4.3.2 当申请评审拒绝认证时，由审核部合同评审人员将拒绝认证的理由及相关信息传递给市场业务人员，由业务人员通知认证申请方。

If certification is refused during dealing process, contract reviewer from audit department would report reason for refusing certification and relevant information to market personnel who would then notify the certification applicants.

4.3.3 当认证决定拒绝认证时，由注册部认证决定人员将拒绝认证的理由及相关信息传递给市场业务人员，由业务人员通知认证申请方。

If certification decision is refusing certification, decision makers from registration department would pass the reasons for refusing and relevant information to the market personnel who would then notify the certification applicants.

### 4.4 认证证书的保持 Maintenance of the certification certificate

#### 4.4.1 证书保持条件 Conditions for certificate maintenance

- 获证方在认证证书有效期内按期接受监督审核。
- 质量、环境、职业健康安全及能源管理体系有效保持，管理体系无重大变更；
- 对现场审核中出现的不合格项能够按要求整改且纠正措施实施有效；
- 对现场检查中出现的不合格项能够按要求整改且纠正措施实施有效；
- 在认证证书有效期内如有认证要求变更，ICAS 将变更要求以公开文件及其他方式通报获证组织，执行《产品认证管理程序》，并经 ICAS 验证在认证范围内相关产品满足变更的要求；
- 需要换发证书情况下，执行《产品认证管理程序》/《有机和 GAP 认证管理程序》，经必要的审查（审核）和认证决定小组对相关材料进行审定，认为获证（申请）组织在认证范围内能满足保持认证资格的条件，经 ICAS 总经理批准换发认证证书
- 没有重大投诉；
- 没有重大产品事故；
- 没有严重违法违纪行为；
- 按时支付认证审核费用。
- The certificated organization should accept surveillance audit as scheduled within the valid time of the certificate.
- Quality, environmental, occupational health and safety and energy management system are



effectively maintained, and there are no significant changes to management system;

- The nonconformities discovered during the period of on-site audit can be rectified on request and the corrective actions taken are effectively;
- During the valid period of the certificate, if there are changes of certification requirements, ICAS will inform the certificated organization of the requirements changed by means of public documents or other ways and implement “Management Procedure of Product Certification”. The relevant product within the scope of certification satisfies the requirements changed through the verification conducted by ICAS;
- In the cases of renewing the certificate, ICAS implements “Management Procedure of product certification”. By means of necessary review (audit) and the method that certification decision group examines the related materials, if ICAS believes that the certificated (application) organization can satisfy the conditions of maintaining certification qualification within the scope of certification, General Manager of ICAS will approve the replacement of certificate.
- There are no significant complaints;
- There are no major accidents of products;
- There are no serious violations of laws and discipline;
- Audit fees are paid on time.

4.4.2 注册部收到审核部的监督审核的审核报告后，根据《认证决定表》（FP1086）进行评审。After receiving audit report of surveillance audit submitted by Audit Department, the Registration Department will conduct review according to “Checklists of certification decision” (FP1086).

4.4.3 如果发现获证组织发生了与 OHS 有关的严重事件，如严重事故或严重违法，实施独立于监管机构的特殊审核是必要的，以便调查管理体系是否存在严重问题以及是否有效发挥作用；此时应记录调查的结果。

Independently from the involvement of the competent regulatory authority, a special audit may be necessary in the event that ICAS becomes aware that there has been a serious incident related to occupational health and safety, for example, a serious accident, or a serious breach of regulation, in order to investigate if the management system has not been compromised and did function effectively. ICAS shall document the outcome of its investigation.

4.5 认证证书范围的变更（扩大或缩小） Changes of the scope of the certification certificate (expanding or reducing)

4.5.1 当获证组织要求变更（扩大）认证范围时，审核部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。

这种变更包括（但不限于）与下列方面有关的变更：

- 1) 法律地位、经营状况、组织状态或所有权；
- 2) 组织和管理层（如关键的管理、决策或技术人员）；
- 3) 生产地址和场所；
- 4) 获证管理体系覆盖的范围；能源管理体系还包括能源核算边界的变化；
- 5) 管理体系和过程的重大变更。

**认证授予、拒绝、保持、变更、暂停、恢复、撤销程序**

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注：有机产品认证和良好农业规范认证证书变更程序参照有机和 GAP 认证管理程序 (ICASP33C)中的违规制裁程序执行。

If certified organization asks for changing(expanding) the scope of certification, the Audit Department shall review the application for expanding the scope of certification and determine any necessary audit activities to make a decision on whether to expand or not.

The changes include (but not limited to) changes with respect to:

- 1) the legal, commercial, organizational status or ownership;
- 2) organization and management level (e.g. key managerial, decision-making or technical staff)
- 3) address and sites of production;
- 4) scope of operations under the certified management system; energy management system also includes changes in the boundaries of energy accounting
- 5) major changes to management system and processes;

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

In this case, the certified organizations are required to submit management system documents changed, data information and evidence documents of industry and commercial (where necessary). The certified organizations are also required to submit related license certificate where applicable.

4.5.3 审核方案管理人员按各认证管理程序要求，对变更部分的申请进行评审。

Management personnel of audit program shall apply for review on the changed content according to requirements of different certification management procedures.

4.5.4 审核部按各认证管理程序要求对其现场进行审核（可结合监督审核或再认证进行），并将审核结果报注册部。

Audit department shall conduct on-site audit according to requirements for different certification management procedures (may combine with surveillance audit or recertification), and submit the audit results to the registration department.

4.5.5 ICAS 以公开文件的方式要求获证组织向 ICAS 通报管理体系变更，以及其他可能影响其符合性的变更。

ICAS requires the certified organizations to report ICAS any changes to the management system and other changes which may affect its compliance through public documents.

4.5.6 如果获证组织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 将缩小其认证范围，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.

4.5.7 审核部按《产品认证管理程序》(ICASP23)/有机和 GAP 认证管理程序(ICASP33C)，及产品认证实施方案的规定采取措施，确定评价的方式，并将最终评价结果报注册部。

Audit Department takes actions according to regulations from “Management Procedure of Product Certification” (ICASP23) and product certification implementation plan to determine the mode of evaluation, and reports the final evaluation results to Registration Department.

4.5.8 当产品认证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 将采取以下可能的措施：

- a) 在经 ICAS 评审后，根据要求采取适当的措施（如：增加监督）下保持认证；

**认证授予、拒绝、保持、变更、暂停、恢复、撤销程序**

- b) 缩小认证范围以剔除不符合的产品类别;
- c) 在获证组织采取补救措施前暂停认证;
- d) 撤销认证。

When the results of surveillance for product certification or other activities confirm that there exist nonconformities which do not satisfy the requirements of certification, ICAS will take the possible actions as follows:

- a) After reviewed by ICAS, appropriate actions (such as: adding surveillance) should be taken to maintain certification on request;
- b) Reduce the scope of certification in order to eliminate categories of non-conforming products;
- c) Suspend certification before the certified organization takes remedial actions;
- d) Withdraw certification.

4.5.9 注册部根据《认证决定表》(FP1086)中相关的项目进行评定,作出决定后交总经理,总经理确认后由注册部制作证书,给予换发,并及时修改相关客户认证信息。

Registration Department conducts assessment according to the related items from “Certification Decision Form” (FP1086) and submits the decision to General Manager. Once confirmed by the General Manager, Registration Department will make the new certificate for renewal and modify relevant certification information of the clients without undue delay.

**4.6 认证证书的暂停 Suspension of the certification certificate**

4.6.1 出现下列情况之一会导致证书的暂停:由于质量、环境、职业健康安全、信息技术服务、食品质量安全、HACCP 及能源等管理体系发生重大变更而导致原有认证失效;

- a. 体系或认证证书所涉及的产品持续或严重不满足认证要求的(包括有效性),包括体系文件与实际业务运作严重脱离;
- b. 不满足体系适用的法律法规要求,且未采取有效纠正措施的;
- c. 受到与质量、环境、安全等相关的行政处罚,且尚未完成整改的;
- d. 发生重大质量、环境、安全、食品质量安全等事故,反映获证组织体系运行存在重大缺陷的,或影响管理体系的;
- e. 拒绝配合市场监管部门的认证执法检查监督检查,或者提供虚假材料或信息的;
- f. 持有的与体系范围有关的行政许可文件、资质证书、强制性认证证书等过期失效的;
- g. 不能按照规定的时间间隔接受监督审核的;
- h. 未按相关规定正确引用和宣传获得的认证证书和有关信息,包括认证证书和认证标志的使用;
- i. 不承担、履行认证合同约定的责任和义务的;
- j. 被有关行政监管部门责令停业整顿的;
- k. 发生与质量、环境、安全等相关重大舆情的;
- l. 主动请求暂停的;
- m. 监督审核发现的不符合未能在规定时限内采取有效的纠正措施;
- n. 认证证书所涉及的产品质量监督抽查发现重大不合格的;
- o. 发生重大质量、环境污染、职业健康安全、食品质量安全及能源投诉,但未造成严重后果者;
- p. 获证组织无正当理由连续两次不接受不通知现场审核的(HACCP 适用)
- q. 特殊行业,在特定时期国家有要求予以暂停的,证明材料须附国家有关要求的文件;
- r. 其他应暂停认证证书的。

注:有机产品认证和良好农业规范认证证书的暂停、证书恢复程序参照有机和 GAP 认证管



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理程序(ICASP33C)中的违规制裁程序执行。

The certificate will be suspended if one of the following situations occurs: the original certification is invalid due to significant changes to quality, environmental, occupational health and safety, information technology services ,Food safety management system ,HACCP and energy management systems;

a. Products involved in the system or certification are consistently or seriously non-compliant with certification requirements (including validity), including severe deviations between system documentation and actual business operations;

b. Failing to comply with the applicable laws and regulations of the system and not taking effective corrective measures;

c. Subject to administrative penalties related to quality, environment, safety, etc., and have not yet completed the rectification;

d. Occurrence of major incidents related to quality, environment, safety, food quality and safety, reflecting significant deficiencies in the certified organization's system operation or affecting the management system;

e. Refusing to cooperate with market supervision authorities in certification, law enforcement, supervision, inspection, or providing false materials or information;

f. Administrative permits, qualification certificates, mandatory certification certificates, and other documents related to the scope of the system that have expired or become invalid;

g. Unable to undergo surveillance audits at the prescribed intervals;

h. Failure to properly reference and promote the obtained certification certificates and related information in accordance with relevant regulations, including the use of certification certificates and certification marks;

i. Failing to assume or fulfill the responsibilities and obligations stipulated in the certification contract;

j. Ordered to suspend business for rectification by relevant administrative regulatory authorities;

k. Incidents involving significant public opinion related to quality, environment, safety, etc;

l. Voluntarily requesting a suspension;

m. Nonconformities identified during supervision audits were not addressed with effective corrective measures within the stipulated time frame;

n. Products found to have major non-conformities in quality supervision and random inspections involving certified certificates;

o. Incidents involving significant quality, environmental pollution, occupational health and safety, food safety, and energy-related complaints, but without causing serious consequences;

p. Certified organizations that fail to accept or notify on-site audits (HACCP applicable) without justifiable reasons for two consecutive times

q. For special industries, if the state requires suspension during specific periods, supporting documents must include the relevant national regulatory requirements;

r. Other circumstances where certification certificates should be suspended.

4.6.2 审核部、市场部发现上述的现象后，应通知注册部，由注册部协调认证决定人员进行认证决定并予以记录，由注册部向客户发出证书暂停通知。

不能按照规定的时间间隔接受监督审核的客户，市场部负责年审安排的人员应向注册部提交名单，由注册部作出暂停决定，报注册经理或总经理。由注册部制作《管理体系认证证书暂停通知》(MAP1111)，在该客户的审核档案中备案，更新客户数据库中做相应标识，并将《管理体系认证证书暂停通知》抄送年审安排人员及市场部，由年审安排人员负责通知客户、跟踪；市场部负责更新客户总表。在这个期限之前，客服人员应提前及时通知客户不能按时进行年度审核的后果。

认证证书暂停期为6个月(不可超过6个月)，应在该期限内采取措施消除引起暂停的原因。

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如果获证组织未能在规定的时限内解决造成暂停的问题, ICAS 应撤销或缩小其认证范围。如果客户持有的行政许可证明已经过期或失效, 但已重新提交相应的行政许可申请、且申请已被相应的行政许可机关受理的, 暂停期可至行政许可机关作出行政许可决定之日。

If the audit department and the market department find situations above, it shall inform the registration department who would then allocate certification decision makers to make decisions and record them, registration department would issue suspension notice of certificate to the client.

Customers who fail to undergo surveillance audit at the prescribed time intervals, responsible personnel for annual arrangement in the market department shall submit the list to the registration department and let it make suspension decision and report it to the registration manager or general manager. Registration Department makes “Suspension Notice of Certificate” (MAP1111), puts on records in audit files of that client, makes corresponding mark in update client database and make a copy of “Certificate Suspension Notice” to the personnel arranging annual audit and Marketing Department. The personnel responsible for arranging annual audit shall inform the client and follow up. Market Department is responsible for updating the general form of the clients. Before the deadline, client service personnel shall inform client in advance the consequence of not receiving annual audit on time.

The usual suspension time for certificate is 3 to 6 months(Up to 6 months), client shall take actions to eliminate causes of suspension within this period. This corrective period can be relatively expanded but shall be no longer than six months. Failure to resolve the issues that have resulted in the suspension in a time established by ICAS shall result in withdrawal or reduction of the scope of certification. If current administrative licenses hold by client has been expired or invalid and resubmitted application for administrative licenses has been accepted by relevant administrative license authority, then suspension period can be expanded to the day administrative license authority makes decisions.

4.6.3 负责年度审核安排的人员负责对由于未能按时进行年审而暂停的客户的跟踪; 注册部、市场部对由于其它原因而暂停的客户的纠正情况进行跟踪。如认证证书暂停的 6 个月内没有采取有效措施, 年度审核安排人员和市场部应通知注册部, 由注册部制作《管理体系认证证书撤销通知》(MAP1112)、在审核档案中备案、更新客户数据库, 并将《管理体系认证证书撤销通知》抄送市场部, 由市场部通知客户、跟踪, 更新客户信息总表。

The personnel who is in charge of arranging annual audit should be responsible for following up the client who was suspended due to being unable to conduct annual audit on time. Registration Department and Market Department shall follow up corrections taken by the client who was suspended due to other reasons. If the client fails to take effective actions within 6 months since the date of certificate suspension, the personnel who is in charge of arranging annual audit and Marketing Department should inform Registration Department. Registration Department makes “Notice of Withdrawing of Certificate” (MAP1112), put on records in audit files, update client database and make a copy of “Notice of Withdrawing of Certificate” to Marketing Department. Marketing Department is responsible for informing client, following up and updating the general form of the clients.

4.6.4 在暂停期限内, 认证证书暂时无效, 如客户对导致暂停的原因采取了有效措施, 造成暂停的原因已消除的, 经相关部门确认, 注册部复核并报总经理批准后, 可恢复其认证证书。

Within the period of suspension, the certification certificate is temporarily invalid, if the client has taken effective actions against the causes of suspension, the cause of the suspension has been eliminated, its certification certificate can only be restored after being confirmed by relevant department, reviewed by registration department and approved by general manager.

4.6.5 当产品认证的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, 应对客户的认证证书予以暂停。此时, 应由市场部年审业务人员向客户发出暂停通知, 说明和沟通(且不限于)

## 认证授予、拒绝、保持、变更、暂停、恢复、撤销程序

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以下信息:

——为结束暂停和恢复认证, 根据认证方案所需采取的措施;

——认证方案要求的任何其他措施

If the results of surveillance of the product certificate or of other activities indicate that nonconformity of certification requirements exists, the client's certificate shall be suspended. Meanwhile, annual review personnel from market department shall give notice to the client to make explanation and communication of (but not limited to) the following information:

-----Actions adopted according to the certification scheme in order to end the suspension and restore the certification

-----Any other actions required by the certification scheme

4.6.6 由获证客户提供的、或在特殊审核期间, 审核组直接收集的有关导致监管机构参与(调查)的事件信息, 如严重事故或严重违法(行为), 应为 ICAS 提供决定采取措施的理由, 包括, 一旦证明体系严重地不能满足 OHSMS 认证要求而采取的暂停或撤销认证的措施。这些要求应是 ICAS 和组织签署的合同协议的一部分。

Information on incidents such as a serious accident, or a serious breach of regulation necessitating the involvement of the competent regulatory authority, provided by the certified client or directly gathered by the audit team during the special audit, shall provide grounds for ICAS to decide on the actions to be taken, including a suspension or withdrawal of the certification, in cases where it can be demonstrated that the system seriously failed to meet the OH&S certification requirements. Such requirements shall be part of the contractual agreements between ICAS and the organization.

### 4.7 认证资格的恢复 Restoring of the certification qualification

#### 4.7.1 恢复认证资格的条件:

经暂停恢复审核、或获证组织提供的证明材料表明, 已针对暂停认证资格的原因采取了有效的纠正措施, 产生原因已经消除, 重新符合了相关的认证要求, 包括:

- a) 受审核方未在规定时间内接受监督审核被暂停的, 结合申请恢复后的监督审核予以恢复;
- b) 发生重大事故被暂停的, 需附组织事故调查分析报告(自身的和国家有关部门的)以及 ICAS 就该事故进行追踪审核的审核报告, 可表明其纠正及纠正措施充分有效;
- c) 因投诉被暂停的, 需提交组织针对投诉原因采取的纠正措施及验证材料;
- d) 因未交纳审核费用被暂停的, 需附交费证明(如汇款凭证复印件)
- e) 其他针对暂停证书原因提交的纠正材料或证明性文件。

注: 有机产品认证和良好农业规范认证证书的暂停、证书恢复程序参照有机和 GAP 认证管理程序(ICASP33C)中的违规制裁程序执行。

Conditions for restoring the certification qualification:

Documentary evidence provided by the certificated organization indicate that they have taken effective corrective actions to the causes of suspension the certification qualification, the causes have been eliminated and they conform to the requirements of the relevant certification again, including:

- a) If the certification qualification is suspended because the auditee does not accept surveillance audit within the stipulated period, the surveillance audit plan re-arranged and the surveillance audit report should be attached;
- b) If the certification qualification is suspended due to major accidents, the investigation analysis report of the accident (from itself and the relevant national department) and audit report of following up and reviewing the accident by ICAS should be attached, which can indicate that the corrective actions have been taken effectively;
- c) If the certification qualification is suspended because of complaints, the corrective actions to the causes of complaints that the organization has taken and verification materials should be attached;
- d) If the certification qualification is suspended due to non-payment of fees, payment evidence (such as

**认证授予、拒绝、保持、变更、暂停、恢复、撤销程序**

the copy of remittance sheet) should be attached;

e) Other corrective materials or documentary evidence submitted with respect to the suspension of the certificate.

4.7.2 可恢复认证资格的组织，经评审通过，注册部复核并做出认证决定后，方可恢复其认证证书。注册部应更新获证组织数据库并抄送市场部，市场部负责更新获证组织信息总表。

If the organization whose certification qualification can be restored, its certificate can only be restored once it has passed the review, being reviewed by Registration Department and reported to General Manager for approval. Registration Department should update database of certificated organization and CC to Marketing Department. Marketing Department is responsible for updating the general information list of certificated organization.

#### 4.8 认证证书的撤销/终止（注销） Withdrawal/Revocation of certification certificate

4.8.1 客户的全部或部分产品/服务出现下列情况，将导致证书的撤销/终止（注销）、或证书的认证范围的缩小：

- a) 客户主动提出申请(终止（注销）)；
- b) 客户被终止（注销）或撤销法律地位证明文件；
- c) 客户被“国家企业信用信息公示系统”和“信用中国”列入严重违法失信名单的；
- d) 拒绝配合认证监管部门实施的监督检查，或者对有关事项的询问和调查提供了虚假材料或信息；
- e) 拒绝接受国家产品质量监督抽查的；
- f) 经行政监管部门确认因获证组织违规而造成产品和服务等重大质量安全事故的；
- g) 获证组织不再生产获证范围内产品的或不再提供获证范围内服务的；（FSMS&HACCP 体系适用）
- h) 获证组织虚报、瞒报获证所需信息的；（FSMS&HACCP 体系适用）
- i) 暂停期限内未能对引起暂停的原因采取有效的纠正措施；
- j) 认证证书的暂停期限已满，但导致暂停的问题未得到解决或有效纠正的（包括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、强制性认证证书等已经过期失效但申请未获批准）；
- k) 不按相关规定正确引用和宣传获得的认证信息，造成严重影响或后果，或者认证机构已要求其纠正但超过 2 个月仍未纠正的；
- l) 严重违法法律法规；
- m) 管理体系发生重大变更且在暂停期间未能采取有效纠正措施,经评审其管理体系不符合要求；
- n) 管理体系没有运行或者已不具备运行条件的；
- o) 客户因其自身或所在地区、行业或涉及的个人被列入英国制裁名单的；
- p) 其他应撤销认证证书的。

注：有机产品认证和良好农业规范认证证书的撤销、终止（注销）程序参照有机和 GAP 认证管理程序(ICASP33C)中的违规制裁程序执行。

The following situations happened to whole or part of the products/services of the client will result in the revocation/withdrawal of certificate, or reduction of certification scope of certificate:

- a) The client requests voluntarily (for revocation)
- b) Evidence documents of client's legal status are withdrawn or revoked;
- c) The customer has been included in the serious illegal and dishonest list by the "National Enterprise Credit Information Publicity System" and "Credit China";
- d) The client refuses to cooperate with certification and supervision department for supervision and



check, or provides false materials or information for the enquiry and examination of relevant issues;

- e) The client refuses to accept the supervision and sampling for production quality by the country;
- f) Confirmed by the administrative regulatory department that major quality and safety accidents such as product and service incidents have occurred due to violations by certified organizations;
- g) Where a licensed organization no longer produces products within the scope of the certification or no longer provides services within the scope of the certification. (Applicable to FSMS&HACCP)
- h) Where the licensed organization falsely reports or conceals the information needed to obtain the certificate. (Applicable to FSMS&HACCP)
- i) Fail to adopt any effective corrective actions against causes for suspension during the period of suspension;
- j) The suspension period of the certification certificate has expired, but the issue causing the suspension has not been resolved or effectively corrected;
- k) The obtained certification information is not correctively used and promoted as according to relevant rules, which has led to severe consequences or impact; or, certification body has requested client to correct but correction has not been taken for more than two months;
- l) Serious violation of laws and regulations;
- m) There have been major changes to the management system, but the client failed to take effective corrections during the period of suspension, and its management system is reviewed as not in compliance with the requirements;
- n) The management system is not in operation or no longer meets the operating conditions;
- o) Customers who are listed on the UK sanctions list due to their own location, industry, or involvement of individuals;
- p) Other certifications that should be withdrawn.

4.8.2 发生上述情况之一时，由注册部向客户发出《管理体系认证证书撤销通知》(MAP1112)，通知中应明确要求客户将认证证书交回并不可在任何商业活动中使用证书或其复印件进行宣传，并通知客户如未按通知规定的有关要求执行，将采取必要的法律手段。同时注册部应负责将撤销状态予以公告，并将证书被撤销的客户从英格尔认证客户名录中删除。对于部分产品/服务持续或严重地不满足认证要求，则应撤销原证书后，换发缩小认证范围的证书。

If one of the situations mentioned above happens, Registration Department should send “Notice of withdrawing of Management System Certificate” (MAP1112) out to the client. In the notice, it should be explicitly pointed out that the client should return the certification certificate and the certificate or its copy cannot be used in any commercial activities or propaganda activities. Registration Department should also inform the client that ICAS will take necessary legal action if the client fails to implement the relevant requirements according to the stipulations of the notice. In the meantime, Registration Department should be in charge of making a public announcement of the withdrawal situation and delete the client whose certificate has been withdrawn from the client list of ICAS. If part of the products/services of the client dissatisfies the requirements of certification continuously or seriously, the original certificate should be withdrawn and the certificate with reducing the scope of certification should be replaced.

4.8.3 撤销认证证书后，ICAS 将通知企业及时交回撤销的认证证书，并及时在相关媒体和网站上公布或声明撤销决定。

Once the certificate is withdrawn, ICAS would inform enterprise to take back the withdrawn certificate and publish or declare the withdrawal on relevant media and website without undue delay.

4.8.4 如果终止（应客户要求）认证，ICAS 认证将根据与客户方达成的协议，形成“管理体系认证证书注销通知”，发放给客户方，并同时声明所有相关的认证已不再保持。ICAS 还会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

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何信息显示该产品仍持续获得认证。

If the certification is terminated (at the request of the customer), the ICAS certification will form a "Notice of Cancellation of Management System Certificate" and issue it to the customer in accordance with the agreement reached with the customer, and at the same time declare that all relevant certifications are no longer maintained. ICAS will also make all necessary changes to the official certification documents granted to the customer, the published information, the authorization for the use of the logo, etc., to ensure that there is no information indicating that the product is still certified.

4.8.5 凡被暂停、撤销、终止（注销）认证证书及认证证书到期而未申请复审的组织，在作出相应认证决定后的两个工作日内报告认证监管机构。

For organization whose certificate has been suspended, withdrawn and expired, however, it failed to apply for re-assessment, the certification decision shall be submitted to the certification surveillance authority within two working days.

4.9 有关认证活动的具体信息，包括申请、初次审核、监督审核和授予、拒绝、保持、变更、暂停、恢复、撤销认证的过程的认证决定结果，由 ICAS 客服人员负责与客户方进行沟通和信息传递。信息交换的方式可以是发送邮件、微信发送信息和文件、电话通知等；客服人员应确保客户方收到相应信息。这些信息应作为认证档案的一部分予以留档和保存。

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

**5 记录 Records****5.1 认证决定表(FP1026)**

Registration Assessment Form (FP1026)

**5.2 管理体系认证证书暂停通知（MAP1111）**

Notice of Suspension of Management System Certificate (MAP1111)

**5.3 管理体系认证证书撤销通知（MAP1112）**

Notice of Withdrawing of Management System Certificate (MAP1112)

**5.3 管理体系认证证书注销通知（MAP1113）**

Notice of Cancellation of Management System Certificate (MAP1113)

**6 附录 Appendix**

无 None

**7 引用文件 Reference documents**

CNAS-CC01（ISO/IEC17021-1: 2015）

CNAS-CC02:2013（ISO/IEC17065: 2012）

CNAS-CC18\_2014

CNAS-SC185:2021(ISO/TS 22003:2013)

HACCP 体系认证实施规则（CNCA-N-001: 2021）

有机产品认证实施规则（CNCA-N-009 2014）

良好农业规范认证实施规则（CNCA-N-004 2014）

认证授予、拒绝、保持、变更、暂停、恢复、撤销程序

有机产品认证管理办法（总局令第 166 号）

GB/T19630-2011 有机产品标准