

挪亚检测认证集团有限公司

NOA Testing & Certification Group Ltd.

授予、拒绝、保持、更新、暂停、恢复、撤销、注销或扩大、缩小认证的管理程序

Management procedures for granting, denying, maintaining, updating, suspending, restoring, revoking, cancelling, or expanding/reducing certifications

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版次	修订章节及主要修订内容概述	首次/修订生效日期	审核/核准
1/0	首次	2012.8.28	/
5/4	修订文件中部分错误描述	2019.12.05	何玮/杨万霞
5/5	修正客服部授权，暂停撤销规定 修正了暂停、撤销上报时间规定	2024.4.19	张兴/杨万霞
5/6	增加 PIMS, CSISMS, CPIISMS 体系管理规则	2024.9.26	张兴/杨万霞
5/7	依据新版认证规则修订相关要求	2026.2.26	孙红冉/杨万霞
5/8	依据新版认证规则修订相关要求，新增 FSC 相关要求 Revise relevant requirements in accordance with the new certification rules and add new FSC-related requirements.	2026.3.10	孙红冉/杨万霞 Linda Sun/ Cindy Yang

5/9	修正暂停、撤销、恢复授权确认要求 Revision of Requirements for Suspension, Withdrawal and Reinstatement of Authorisation Confirmation	2026.6.23	唐宇坤/杨万霞 Luke Tang/ Cindy Yang
评审部门		使用部门	
总经办、技术委员会、 客服部		技术委员会、客服部	

授予、拒绝、保持、更新、暂停、恢复、撤销、注销或扩大、 缩小认证的管理程序

Management procedures for granting, denying, maintaining, updating, suspending, restoring, revoking, cancelling, or expanding or reducing certification

1、认证的批准 Approval of certification

审核组确认受审核方已进行了一次覆盖标准全部要求的完整内部审核和管理评审，并且内部审核和管理评审的有效性得到验证，审核组在认证审核报告中同意推荐注册。经技委会对审核组提交的管理体系认证审核的相关记录审查合格后，提交认证决定人员进行审定。具体执行《认证决定管理程序》的规定。经认证决定人员审定过的资料，若满足认证要求，由本机构总经理/授权人授权签发认证证书，技委会证书管理人员负责证书的打印工作、发放工作并在本机构网站上公布。当在初审或再认证审核过程中核查发现受审核方不满足认证要求、且无可行整改措施予以弥补，则不予批准发证，并书面告知不予通过的全部理由。

The audit team confirms that the audited party has conducted a complete internal audit and management review covering all requirements of the standard, and that the effectiveness of the internal audit and management review has been verified, and the audit team agrees to recommend registration in the certification audit report. After technical committee review the relevant records of the management system certification audit submitted by the audit team, it shall be submitted to the certification decision maker for approval. Details follows Certification decision management procedure. If the materials examined and approved by the certification decision personnel meet the certification requirements, the General Manager/Authorized Person of this institution is authorized to issue certification certificates. The Technical Committee's certificate management personnel are responsible for the printing and distribution of the certificates, and they will publish the certificates on the institution's official website. If it is found during initial audit or recertification audit that the auditee fails to meet certification requirements and there are no feasible corrective measures to remedy, certification shall not be approved, and all reasons for rejection shall be notified in writing to the auditee.

产品认证注册的条件：获证组织没有违反国家认证制度要求；认证过程的运作符合规定的程序，包括检查的时间是否充分、现场检查的完整性和抽样的合理性、检查的有效性、是否已验证不符合的纠正措施的有效性等；检测活动中产品抽样的合理性和代表性、检测条件和过程与程序的符合性、检测项目的齐全性、检测数据的完整、准确性，有无不符合等；是否明确包括申请认证范围内的检查和检测的评价意见。检查组已获取充分证据，表明客户已具备(或保持)规定的认证条件，认证决定所依据的信息充分、完整、可信；检查人员需提交充分、足够详细的检查记录、检测报告和客观证据：

Conditions for product certification registration: The licensed organization does not violate the requirements of the national certification system; The certification process operates in accordance with specified procedures, including the adequacy of inspection time, the integrity of on-site inspection and the rationality of sampling, the effectiveness of inspection, and the effectiveness of corrective actions that have been verified to be nonconforming; The rationality and representativeness of product sampling in testing activities, the conformity of testing conditions and procedures, the completeness of testing items, the completeness and accuracy of testing data, etc; Whether it explicitly includes the evaluation opinion of the inspection and test within the scope of the certification application. The inspection team has obtained sufficient evidence that the customer has met (or maintained) the required certification conditions and that the information on which the certification decision is based is sufficient, complete and credible; Inspectors shall submit sufficient and sufficiently detailed inspection records, test reports and objective evidence:

- a) 应足以支持认证范围，使认证机构能够做出有依据的认证决定，并确保持续满足认证要求；

It should be sufficient to support the scope of certification to enable the certification body to make informed certification decisions and to ensure that certification requirements are consistently met

- b) 已提供可追溯的充分证据(具有可重现性)，一旦出现某些情况时，能够验证、追踪；

Sufficient evidence of traceability (reproducible) has been provided to verify and track certain situations once they occur;

- c) 为连续性检查(如以后的监督、复评)提供相关信息

Provide information for continuous inspection (e.g. future supervision, review)

检查组提交的综合评价报告已明确包括认证范围内的检查和检测的评价意见，且检查及检测结果完全满足规定的认证要求，结论为同意推荐注册；认证客户的法律地位、资质、保障措施和产品符合认证条件及产品标准要求；检查过程发现的其它方面提出的问题已得到妥

善解决；无重大产品质量，对来自行政监督部门、顾客、行业协会、消费者的信息和新闻媒体关于产品质量方面的处罚、通报或曝光均已得到解决。根据审核/检查部提供的检查信息及其他有关信息，技委会审议，给出认证决定意见，总经理做出是否批准认证的决定。做出认证决定的人员不应为参加该项目检查的人员。对技委会评价通过的组织，颁发由总经理签署的认证证书。审核/检查部根据总经理签署的认证批准文件，打印认证证书。客户在获证后，应严格按照公司《产品认证证书和认证标志使用管理程序》的要求，正确使用认证证书和认证标志。

The comprehensive evaluation report submitted by the inspection team has clearly defined the evaluation opinions of the inspection and testing within the scope of certification, and the inspection and testing results fully meet the specified certification requirements, and the conclusion is that the registration is recommended; certificated customer's legal status, qualification, safeguard measures and products in compliance with certificate conditions and product standards; Issues raised by other aspects of the inspection process have been properly addressed; No major product quality has been found, and penalties, notices or exposures to information from administrative supervision departments, customers, trade associations, consumers and news media regarding product quality have been resolved; Based on the inspection information and other related information provided by the audit/inspection department, the technical committee deliberates, gives the decision on certification, and the general manager makes the decision on whether to approve. The person making the certification decision should not be the person participating in the program. A certificate of certification signed by the general manager shall be issued to the organizations evaluated by the technical committee. The audit/inspection department shall print the certification certificate according to the certification approval document signed by the general manager. After obtaining the certificate, the customer shall use the certification certificate and certification mark correctly in strict accordance with the requirements of the company's "management procedure for the use of product certification certificate and certification mark".

2、认证的保持 Maintenance of certification

本机构管理体系认证证书的有效期为三年（FSC-COC 森林产销监管链认证证书有效期最长不超过五年）。作为最低要求，在初次认证审核的认证决定日期后的12个月内应进行一次监督审核。此后，应至少每个日历年进行一次监督审核且两次监督审核的间隔不得超过相关体系/产品认证认可法规规定的审核间隔时间。若获证组织有客观证据证明暂不具备监审实施条

件，可适度延长监审周期，但最长间隔不得超出对应体系法定上限。在认证证书有效期期满前三个月，获证组织须向本机构提出重新认证（再认证）的申请，并在认证证书到期前关闭严重不符合项，否则应按初审进行。在认证证书有效期内，如获证组织的管理体系变更时，或管理体系认证所依据的管理体系标准变更时，应当重新申请监督或再认证。

The validity period of the management system certification certificate issued by this institution is three years (The maximum validity period of FSC-COC certification certificate shall not exceed five years). As a minimum requirement, a surveillance audit shall be conducted within 12 months after the certification decision date of the initial certification audit. After that, a surveillance audit shall be conducted at least once every calendar year, and the interval between two surveillance audits shall not exceed the audit interval specified in the relevant system/product certification and accreditation regulations. If the certified organization has objective evidence proving that it temporarily cannot carry out surveillance audit, the surveillance cycle can be appropriately extended, but the maximum interval shall not exceed the statutory limit of the corresponding system. Three months before the expiration of the validity period of the certification certificate, the certified organization must submit an application for recertification to this institution and close the major non-conformities before the expiration of the certification certificate; otherwise, it shall be handled as an initial audit. During the validity period of the certification certificate, if there is a change in the management system of the certified organization or a change in the management system standards on which the management system certification is based, the organization shall reapply for surveillance or recertification.

产品认证保持认证注册资格的条件 Product certification maintains the conditions for certification registration

a) 获证组织没有违反国家认证制度要求；

The licensed organization does not violate the requirements of the national certification system

b) 上次检查发现的不符合项、观察项均已采取有效的纠正和纠正措施并验证有效；

The non-conformance items and observation items found in the last inspection have been effectively corrected and verified to be effective

c) 按照产品认证规定，按时进行了监督检查；

In accordance with the product certification regulations, supervision and inspection were carried out on time;

d) 获证客户及时向公司提供可能影响其产品认证符合性的重大变动，以及相关信息和资料；

The licensed customer shall promptly provide the company with material changes, as well as relevant information and materials, that may affect the conformity of the product certification

- e) 未采取误导的方式使用认证证书和认证标志和认证报告或认证报告中任何一部分；

No misleading use of certification certificates and certification marks and certification reports or any part of the certification report

- f) 利用各种媒体(例如文件、宣传册或广告)对认证的宣传符合公司《产品认证证书和认证标志使用管理程序》的相关要求；

Use of various media (such as documents, brochures or advertisements) to promote the certification in accordance with the company's "product certification certificate and certification mark use management procedures" related requirements;

- g) 按时缴纳认证的有关费用

Pay certification fees on time

3、认证范围缩小 **reduce certification scope**

经监督审核及其他信息表明，获证组织管理体系运行及覆盖的产品达不到标准要求或获证组织经营范围变更需缩小认证范围，可以向本公司提交缩小认证范围的申请。（填写《管理体系变更申请表》）

According to the surveillance audit and other information, the products covered by the management system of the licensed organization fail to meet the standard requirements or the scope of business license changed needs to reduce certificate scope. (Fill in the Application Form for Change of Management System)

当组织的产品/服务范围或组织结构因某种原因有所缩小时，组织应通知公司。或在监督审核时，审核组发现组织的范围已缩小时，应与组织协商，确认是否缩小认证范围。

The organization shall notify the company when the scope of the organization's products/services or organizational structure has been reduced for any reason. Or when the audit team finds that the scope of the organization has been reduced during the surveillance audit, the audit team should communicate with organization whether to reduce certificate scope.

缩小后的认证范围应满足独立认证的条件。如在公司办公室内无法核实或经核实不能确定缩小后的认证范围是否满足独立认证条件时，应结合监督审核或安排特别监督审核进行现场确认。

The reduced scope of certification shall meet the requirements for independent certification. If

cannot be verified on the site or fail to determine whether the reduced certification scope meets the requirements for independent certification, shall be conducted in combination with on-site surveillance audit or special surveillance audit.

产品认证范围缩小的条件 Conditions for reducing the scope of product certification

- a) 国家明令淘汰的产品或生产工艺方法； Products or production processes that are eliminated by the state
- b) 受到取缔或限产的产品或生产工艺方法； Products or production processes that have been banned or restricted;
- c) 不具备条件继续生产而失去必要资格的产品； Products that do not have the necessary qualifications to continue production
- d) 获证组织决定不再生产的产品； Products that the licensed organization decides to no longer manufacture
- e) 已脱离获证组织控制的场所； Places that have been removed from the control of the licensed organization;
- f) 不能持续满足产品技术要求； Unable to continuously meet product technical requirements
- g) 当产品认证技术要求发生改变时，获证产品不能满足新的产品技术要求。 When the technical requirements for product certification change, the licensed product cannot meet the new product technical requirements

产品认证范围缩小由发现部门提出，填写《管理体系变更申请表》，由合同评审批准后，由客服部通知客户，并办理相关手续。

The reduction in product certification scope is proposed by the discovery department and documented by filling out the "Management System Change Application Form." Once approved through contract review, the customer service department informs the clients and handles the related procedures.

当组织的 ISMS 体系范围缩小时，其 PIMS, CSISMS, CPIISMS 体系范围也应变更缩小，PIMS, CSISMS, CPIISMS 体系所涉及产品/服务范围不可超过组织 ISMS 体系范围。

When the scope of an organization's Information Security Management System (ISMS) is reduced, the scope of its Privacy Information Management System (PIMS), Customer Security Information Management System (CSISMS), and Core Product Information Security Management System (CPIISMS) should also be correspondingly reduced. The range of products/services covered by the PIMS, CSISMS, and CPIISMS systems shall not exceed the scope of the organization's

ISMS system.

4、认证范围扩大 Extending of scope

当申请方申请扩大获证组织原有管理体系认证范围时，需提供变更的体系文件和相应的资料，客服部受理后按合同评审的规定，转交有关部门进行评审和安排审核。

When the applicant applies for extending the scope of the original management system certification of the licensed organization, should provide the changed system documents and the related information. After acceptance, the customer service department shall, in accordance with the provisions of contract review, transfer it to relevant departments for review and arrangement.

获得产品认证的客户，根据产品技术要求范围的变化和客户对产品的调整，提出认证产品扩大/增项认证的申请。认证产品扩大/增项认证的条件

The customer who has obtained the product certification shall, according to the change of the product technical requirement scope and the adjustment of the product by the customer, submit the application for the extension/additional certification of the certified product. Conditions for extended/additional certification of certified products

- a) 扩大/增项认证产品的检测和(或)检查活动符合规定的检测和(或)检查抽样要求及相应的程序规定；

Testing of expanded/additional certified products and(or) check activity for compliance with specified tests and(or) check sampling requirements and related procedures

- b) 扩大/增项认证产品的检测和(或)检查结果符合规定要求；

The Expand/add certified products should meet the testing and/or inspection results of the specified requirements

- c) 已具备正常批量生产或运作的条件；

Conditions are in place for normal mass production or operation

- d) 已纳入 NOA 产品认证要求的正常控制与管理，且控制有效；

Has been included in the normal control and management of NOA product certification requirements, and the control is effective;

- e) 由持证方提出书面申请。

A written application shall be submitted by the holder

由获证客户提出书面的扩大/增项申请，并提供符合认证产品扩大/增项认证规定的相应证明材料；合同评审人员对申请材料进行评审并确认是否受理，同时与申请方签订产品认证合同（扩

大/增项)；审核/检查部对扩大/增项申请材料进行审核，并按现场检查控制程序进行评价；技委会组织对审核/检查部提交的扩大/增项申请材料进行评审，做出决定，经总经理批准后，为扩大/增项认证企业更换认证证书。

Written application for extension/addition by licensed client and provide the related certification materials in accordance with the requirements of the extension/addition certification of certified products; The technical commission shall organize the assessment of the application materials submitted by the audit/inspection department for extension/addition, make a decision and replace the certification certificate for the expanded/additional certification enterprise after the approval of the general manager.

4.1 特殊体系的扩大范围管理

Management of the scope enlargement for specific management systems

当组织的 PIMS, CSISMS, CPIISMS 范围需要扩大时，只能在组织 ISMS 体系范围内增加，不可超过 ISMS 体系所涵盖的范围。

When the scope of an organization's Privacy Information Management System (PIMS), Customer Security Information Management System (CSISMS), and Corporate Private Information ISMS (CPIISMS) needs to be expanded, the enlargement can only take place within the boundaries defined by the organization's Information Security Management System (ISMS). It must not exceed the scope covered by the ISMS framework.

5、认证证书/认证标志的暂停 Suspension of certification certificates/certification marks

5.1 暂停准则 suspension criteria

有表明获证组织存在影响认证的持续有效性和公信力的以下情况之一时，本机构将在调查核实后 5 日内暂停其认证证书。本机构要求认证证书持有者暂停使用认证证书和认证标志，暂停期限不得超过 6 个月（FSC-COC 证书最长暂停期限为 12 个月）。对于特殊的获证组织，比如明确放弃证书的、体系运行严重失效等情况，本机构可不办理暂停手续而直接撤销/注销组织的获证证书或者在暂停未到期前对获证组织的认证证书进行撤销处理。

5.1.1 In the event that a certified organization is found to have any of the following situations that affect the continuous validity and credibility of the certification, this institution will suspend its certification certificate within 5 days after investigation and verification. This institution requires the holder of the certification certificate to suspend the use of the certification certificate and certification mark, and the suspension period shall not exceed 6 months (the maximum suspension

period for FSC-COC certification certificates is 12 months) . For special certified organizations, such as those who explicitly give up their certificates or whose system operations have seriously failed, this institution may not handle the suspension procedures and directly revoke/cancel the organization's certification certificate, or revoke the certification certificate of the certified organization before the suspension period expires.

5.1.2 持续或严重不满足认证要求的，包括体系文件与实际业务运作严重脱离；

Persistent or severe non-compliance with certification requirements, including a significant divergence between system documents and actual business operations;

5.1.3 不满足适用的法律法规要求，且未采取有效纠正措施的；

Failing to meet applicable legal and regulatory requirements, and not taking effective corrective measures.

5.1.4 受到与对应管理体系相关的行政处罚，且尚未完成整改的；

Those who have been subjected to administrative penalties related to the corresponding management system and have not yet completed rectification;

5.1.5 不承担、履行认证合同约定的责任和义务的；包括但不限于以下内容：

Failing to undertake or perform the responsibilities and obligations stipulated in the certification contract; Including but not limited to the following:

a) 未按《认证证书及标志使用规则》要求使用本中心签发的管理体系证书和认证标志；

Do not use the management system certificate and certification mark issued by the center according to the requirements of "rules for the use of certification certificates and marks"

b) 管理体系发生重大变更已不满足原认证覆盖范围要求，未及时通知本机构得到妥善处理；

Major changes to the management system have failed to meet the original certification scope requirements and failure to inform NOA in a timely manner to be properly handled;

c) 未按规定及时交纳有关认证费用（管代授权客服部处理）；

Failure to pay relevant certification fees in a timely manner as required. (the oversight representative has authorized the customer service department to handle this matter)

d) 不能在规定的时限内接受监督审核、特殊审核。但在获证组织达到监督审核期限而有证据表明获证组织暂不具备实施监督审核的条件时，可以适当延长监督审核期限，但最长间隔不能超过对应体系规定的时间间隔；

It is not allowed to accept supervision and review or special review within the specified time limit. However, when the certified organization reaches the supervision and review deadline and

there is evidence indicating that the certified organization does not have the conditions to implement supervision and review temporarily, the supervision and review deadline can be appropriately extended, but the maximum interval cannot exceed the time interval specified by the corresponding system;

- e) 不接受或不配合本机构组织实施的认证有效性内部稽查、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；

Refusing to accept or cooperate with the internal audit of certification effectiveness organized and implemented by this institution, refusing to cooperate with the certification law enforcement supervision and inspection conducted by the market supervision department, or providing false materials or information;

5.1.6 其他违反与本机构签订的合同及其协议的规定；

Other violations of the provisions of the contracts and agreements signed with the NOA

- a) 被有关执法监管部门责令停业整顿的；

Being ordered by relevant law enforcement and supervision departments to stop business operations for rectification

- b) 被地方认证监管部门发现体系运行存在问题，需要暂停证书的；

Found by the local certification supervision department that there are problems in the system operation and the certificate needs to be suspended

- c) 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；

The administrative licensing documents, qualification certificates, compulsory certification certificates, etc. related to the scope of the system that are held have expired and become invalid;

- d) 在监督审核、特殊审核、认证有效性内部稽查中发现的不符合项，在商定的时间内采取的纠正、纠正措施未被接受（或未被证实有效）；

Nonconformities found in the surveillance audit, special audit and internal audit for certification effectiveness, corrective actions taken within the agreed time period are not accepted (or proven to be ineffective)

- e) 发生影响产品重大质量事故、突发环境事件、较大生产安全事故、食品安全重大事故等，反映获证组织体系运行存在重大缺陷的；

Occurrence of major quality accidents affecting products, sudden environmental incidents, significant production safety accidents, major food safety accidents, etc., reflecting significant defects in the operation of the certified organizational system;

f) 发生与对应体系相关重大舆情的；

Major public opinion related to the corresponding system occurs;

g) 监督审核时发现的严重不符合的纠正措施未能在 3 个月内完成验证的；

The corrective measures for serious non-conformities found during supervision and audit have not been verified within 3 months.

h) 特殊行业，在特定时期国家有要求予以暂停的；

Special industry, need to suspension certificate according to state request during a specific period

i) 对其投诉或任何其它信息证实获证组织不再符合本机构的相关规定要求；

A complaint against the licensed organization or any other information certifying that the licensed organization no longer complies with the relevant requirements of the agency

j) 因 ISMS 体系被暂停，相关联体系证书（PIMS，CSISMS，CPIISMS 等）需同步暂停。

The ISMS system has been suspended, and associated system certificates (such as PIMS,CSISMS,CPIISMS) need to be suspended in sync.

k) 获证客户主动请求暂停（管代授权客服部处理）；

The licensed organization requested suspension(the oversight representative has authorized the customer service department to handle this matter)

l) 其他不满足本机构认证要求的情况。

Other conditions that are not satisfactory to the requirements of the NOA

5.2 暂停管理 Suspension of management

技术委员会负责在体系认证规则要求的时间内向国家行业主管部门上报暂停信息，如为 FSC-COC 证书，需在 3 日内于 FSC 官方数据库（search.fsc.org）更新暂停生效日期、原因、到期时间，客户可通过证书编号 / 企业名称在官网、全国认可平台查询证书状态。证书状态变更与网站公示同步更新。

The Technical Committee is responsible for reporting suspension information to the national industry authorities within the time requirements specified by the system certification rules. For FSC-COC certificates, the effective date, reason and expiry date of suspension shall be updated in the official FSC database (search.fsc.org) within three calendar days. Clients may inquire certificate status on our official website and the national certification and accreditation public service platform by certificate number or enterprise name. All changes to certificate status shall be synchronously displayed on the website public notice.

5.3 暂停认证资格的恢复 Renewal the suspended accreditation

被暂停获证组织在暂停期内对造成暂停的原因已经根本消除，经审批可恢复被暂停获证组织的证书的标志。

The reason for the suspension has been completely eliminated by the suspended organization during the suspension period and provide a valid certificate to the NOA, after the certification decision personnel review and approve to renewal the certificate.

产品认证是针对具体产品符合特定标准和其它规范性文件提供保证的一种手段。客户获得认证的产品可能不止是一个认证单元的产品，当出现某一认证单元的获证产品或几个单元的获证产品不能满足要求时，公司可做出部分暂停认证的决定。

Product certification is a means of providing assurance that a specific product complies with certain standards and other regulatory documents. A customer may be certified for more than one certification unit, when the licensed products of one certification unit or several units fail to meet the requirements, NOA may make a decision to partial suspend the certification.

发现下列情况之一时,将全部/部分暂停认证注册资格:

If one of the following situations is found, all/part of the accreditation will be suspended

- a) 获证客户擅自对获证的全部/部分产品设计、结构、性能/生产工艺和配方、关键零部件/原材料进行了更改，且该项更改影响认证产品标准符合性的；

The licensed customer made changes to all/part of the licensed product design, structure, performance/production process and formulation, key components/raw materials without authorization, and the change affects the conformity of the certified product

- b) 获证产品在监督检查时发现全部/部分产品不符合认证产品技术要求（或认证标准），但经过整改，在短期内有可能达到要求的；

All/part of the licensed products are found to be not in conformity with the technical requirements (or certification standards) of the certified products during supervision and inspection. But after the correction, it is possible to meet the requirements in the short term

- c) 监督检查发现获证组织的保障措施达不到规定要求，又不能在规定期限内采取有效纠正措施的，但严重程度尚不构成撤销产品认证资格；

The inspection found that the safeguards of the licensed organization did not meet the requirements and fail to take effective corrective measures within the prescribed time limit.

However, the severity does not constitute a withdrawal of product certification

- d) 连续停产半年以上（计划性停产除外）；

Continuous production stop for more than half a year (except planned production stop)

- e) 出现重大质量事故、或国家监督检查中发现产品不合格，或出现相关方重大投诉并造成严重后果；

Major quality accidents or unqualified products found in national supervision and inspection, or major complaints from relevant parties, resulting in serious consequences;

- f) 获证客户对认证证书和认证标志的使用不符合公司有关规定；

The use of certification certificates and certification marks by licensed customers does not comply with the relevant rules of the NOA

- g) 获证客户未按期交纳认证费用或无正当理由未按时接受年度监督检查；

The licensed customer fails to pay the certification fee on time or fails to accept the annual surveillance audit on time without justified reasons

- h) 监督检查中推迟通过；

Postpone pass the audit during surveillance audit

- i) 擅自变更认证产品生产地址；

Unauthorized to change the production address of certified product

- j) 其他违反产品认证程序和认证合同要求的。

Other violations of product certification procedures and requirements of the certification contract

获证组织存在符合暂停准则任一情形，客服部/技委会应按本机构规定提交书面《暂停认证证书/标志资格通知函》，通知函需明确告知获证组织在暂停期间获证组织不得以任何方式使用认证证书、认证标识或引用认证信息。经核准后，由客服部/技委会向获证组织发出《暂停认证证书/标志资格通知函》。因涉及技委会的暂停决定均为特殊情形，因此，技委会在提交书面《暂停认证证书/标志资格通知函》、做出暂停决定前，需电话告知受审核方最高管理者（总经理/管理者代表）暂停原因及其后果。如受审核方总经理/管理者代表对暂停决定提出合规、合理异议，技委会应立即报告部门经理、高层领导予以解决。对于超期未实施监督审核的企业，由总经理，或管代授权客服部经理作为认证决定人员办理暂停作业。

If a certified organization meets any of the criteria for suspension, the Customer Service Department or the Technical Committee shall submit a written Notice of Suspension of Certification Certificate/Mark Eligibility in accordance with the organization's regulations. The notice must clearly state that during the suspension period, the certified organization is strictly

prohibited from using the certification certificate, certification mark, or making any reference to the certification status in any manner. Upon approval, the Customer Service Department or the Technical Committee will issue the Notice of Suspension of Certification Certificate/Mark Eligibility to the certified organization. Since all suspension decisions involving the Technical Committee pertain to special circumstances, prior to submitting the written notice and finalizing the suspension decision, the Technical Committee must inform the auditee's top management (General Manager / Management Representative) by phone regarding the reasons for suspension and its consequences. If the auditee's General Manager or Management Representative raises a compliant and reasonable objection to the suspension decision, the Technical Committee shall immediately report to the Department Manager and senior management for resolution. For enterprises that have failed to conduct surveillance audits beyond the prescribed timeframe, the General Manager, or the Customer Service Department Manager authorized by the Management Representative, shall act as the certification decision-maker to process the suspension.

6、认证证书/标志的撤销 **Withdraw certification certificate/mark**

6.1 撤销准则 **Withdrawal criteria**

获证组织有以下情形之一的，应在获得相关信息并调查核实后 5 日内撤销其认证证书并要求认证证书的持有者停止使用认证证书/认证标志：

If a certified organization falls under any of the following circumstances, its certification certificate shall be revoked within 5 days after obtaining relevant information and conducting investigation and verification, and the holder of the certification certificate shall be required to stop using the certification certificate/certification mark:

6.1.1 被注销、破产或撤销法律地位证明文件的；

A document proving its legal status has been cancelled, bankrupt or revoked

6.1.2 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；或被应急管理部门列入安全生产严重违法失信主体名单的（适用 OHSMS）；

Those who have been included in the list of serious illegal and dishonest entities by the "National Enterprise Credit Information Publicity System" and "Credit China"; or those who have been included in the list of serious illegal and dishonest entities for safety production by the emergency management department (applicable to OHSMS);

6.1.1 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

或信息的;

Refuse to cooperate with the supervision and inspection carried out by the certification supervision department, or providing false materials or information for the inquiry or investigation of relevant matters.

6.1.2 拒绝接受国家产品质量监督抽查的;

Refusing to accept the state product quality supervision and random inspection

6.1.3 出现重大的产品或服务等质量安全事故, 经执法监管部门确认是获证组织违规造成的。发生影响质量、环境、职业安全的重大事故, 造成严重不良社会影响的, 经调查造成事故的原因是因为体系存在严重缺陷或组织未能在暂停期内就重大事故的原因进行调查并采取有效的纠正措施;

Major product or service quality have safety incidents occurred, and confirmed by the law enforcement and supervision department that the licensed organization violated the rules. Serious accidents that affect quality, environment and occupational safety and cause serious adverse social impact. The cause of the accident caused by the investigation is the serious defect of the system or the organization's failure to investigate the cause of the major accident and take effective corrective measures during the suspension period;

6.1.4 严重违反双方认证合同规定的;

Serious violation of the provisions of the certification contract between the parties

6.1.5 有其他严重违反法律法规行为的;

Other serious violations of laws and regulations

6.1.6 暂停认证证书的期限已满但导致暂停的问题未得到解决或纠正的;

The period for suspension has expired but the problem causing the suspension has not been resolved or corrected.

6.1.7 没有运行管理体系或者已不具备运行条件的;

Those who do not have an operational management system or no longer meet the operational conditions;

6.1.8 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;

Does not correctly quote and publicize obtained certification information in accordance with relevant regulations, and cause serious effects or consequences or the NOA has asked for correction but more than 2 months still not corrected.

6.1.9 其他应当撤销认证证书的；

Other reason still need to withdraw certificate

6.1.10 获证客户主动要求撤销证书；

The licensed organization requests to withdraw the certificate

6.1.11 其他重大影响管理体系有效性的情况。

Other conditions that significantly affect the effectiveness of the management system.

6.2 技术委员会负责在体系认证规则要求的时间内向国家行业主管部门上报撤销信息，并在公司网站上可查到证书状态。

The Technical Committee is responsible for reporting the revocation information to the national industry supervision department within the timeframe required by the system certification rules, and for ensuring that the certificate status is accessible on the company's website.

6.3 认证证书自撤销之日起将不可被恢复，如获证组织申请认证证书，按初审提交申请至公司。

The certificate is not renew from the date of withdrawal. If the licensed organization applies for the certification again, submit the application to the NOA according to the initial audit.

6.4 撤销认证产品注册资格的条件 Conditions for withdraw of certified products

凡有下列情节之一者，公司将撤销获证组织全部/部分产品使用认证证书和认证标志的资格：

Any of the following conditions, the company will withdraw the certification certificate and certification mark for all/part of the licensed organization's products:

a) 监督检查时发现客户获证的全部/部分产品存在一定缺陷不能持续符合相应技术要求，且在短期内无法有效纠正的；

During the supervision and inspection, it was found that all/part of the products certified by the customer were defective and could not continuously meet the corresponding technical requirements and can not be effectively corrected in a short period of time

b) 认证证书和认证标志的使用严重违反规则，经警告仍不改正的；

The use of the certification certificate or the certification mark seriously violates the rules and fails to correct the violation after being warned

c) 因获证产品质量等问题造成严重后果或重大社会影响的；

Causing serious consequences or major social impact due to the quality of the licensed products

d) 出现相关方的重大投诉并造成严重后果；

Major complaints from relevant parties and serious consequences

- e) 在行政主管部门监督检查中，出现违法现象；

In the supervision and inspection of the competent administrative departments, there are illegal phenomena

- f) 发生公司与获证客户之间协议中特别规定的其他构成撤销认证证书和认证标志使用资格的有关情况；

The occurrence of other circumstances that constitute the revocation of a certification certificate and the use of a certification mark as specified in the agreement between the NOA and the licensed customer

- g) 无正当理由不接受年度监督检查，且已暂停三个月的；

Not subject to annual supervision and inspection without good reason and has been suspended for three months

- h) 发出暂停产品认证证书资格通知后，获证客户未按要求及规定期限采取纠正措施；

After giving notice of suspension of product certification qualification, the licensed customer fails to take corrective action as required within the prescribed time limit

- i) 失去法律地位；

Loss of legal status

- j) 转让认证证书和认证标志；

Transfer of certification certificates and certification marks;

- k) 获证组织存在符合撤销准则任一情形，客服部/技委会应按本机构规定提交书面《撤销认证证书/标志资格通知函》，通知函需明确告知获证组织在证书被撤销后，获证组织不得以任何方式使用认证证书、认证标识或引用认证信息。经核准后，由客服部/技委会向获证组织发出《撤销认证证书/标志资格通知函》。因涉及技委会的撤销决定均为特殊情形，因此，技委会在提交书面《撤销认证证书/标志资格通知函》、做出撤销决定前，需电话告知受审核方最高管理者（总经理/管理者代表）撤销原因及其后果。如受审核方总经理/管理者代表对撤销决定提出合规、合理异议，技委会应立即报告部门负责人、高层领导予以解决。对于超期未实施监督审核的企业，由总经理，或管代授权客服部经理作为认证决定人员办理撤销作业。

If a certified organization meets any of the criteria for withdrawal, the Customer Service Department or the Technical Committee shall submit a written Notice of Withdrawal of Certification Certificate/Mark Eligibility in accordance with the organization's regulations. The

notice must clearly state that after the certificate is withdrawn, the certified organization is strictly prohibited from using the certification certificate, certification mark, or making any reference to the certification status in any manner. Upon approval, the Customer Service Department or the Technical Committee will issue the Notice of Withdrawal of Certification Certificate/Mark Eligibility to the certified organization. Since all withdrawal decisions involving the Technical Committee pertain to special circumstances, prior to submitting the written notice and finalizing the withdrawal decision, the Technical Committee must inform the auditee's top management (General Manager / Management Representative) by phone regarding the reasons for withdrawal and its consequences. If the auditee's General Manager or Management Representative raises a compliant and reasonable objection to the withdrawal decision, the Technical Committee shall immediately report to the Department Manager and senior management for resolution. For enterprises that have failed to conduct surveillance audits beyond the prescribed timeframe, the General Manager, or the Customer Service Department Manager authorized by the Management Representative, shall act as the certification decision-maker to process the withdrawal.

- 1) 全部产品被撤销认证资格时，该客户应立即停止涉及认证内容的广告，并将认证证书及未使用的认证标志交至公司，对在包装上印制了认证标志的包装物应进行销毁；同时行政人事部将其从认证企业名录中删除。

When all products are deregistered, the customer shall immediately cease advertising involving the certification and shall deliver the certification certificate and unused certification marks back to the company, and destroy the certificate mark on the package. Meanwhile the administrative personnel department removes it from the list of certified enterprises.

- m) 对部分撤销产品认证资格的客户，应立即停止涉及撤销产品认证内容的广告，并将认证证书交至公司，换发新的证书，对这些产品已印制了认证标志的包装物应进行销毁，人事行政部将认证企业名录中的相关内容进行修改。

For customers who have partially withdrawn their product certification, should stop advertising involving withdrawal of product certification and submit the certificate to the NOA, issue a new certificate. The packaging of these products which has been printed with the certification mark shall be destroyed. The human resource and administration department will revise the relevant contents in the list of certified enterprises

7、认证证书/认证标志的注销 **Cancellation of certification certificate/certification mark**

获证组织主动申请不再保持认证证书时，客服部应向机构提交证书注销申请。经机构技术委员会及高层管理人员批准后，办理认证证书注销手续，并留存相关记录；同时核查该证书是否存在暂停或撤销情形。

若存在暂停或撤销情形，应予以撤销，证书状态由“有效”变更为“撤销”；若不存在上述情形，则予以注销，证书状态由“有效”变更为“注销”。

客服人员应通知并要求获证组织立即停止使用该认证证书及认证标志。已注销的认证证书失效，且不可恢复。

When a certified organization voluntarily applies to no longer maintain its certification certificate, the customer service department should submit a certificate cancellation application to the institution. After approval by the institution's technical committee and senior management, the certification certificate cancellation procedures shall be handled, and relevant records shall be retained; meanwhile, verification shall be conducted to check whether the certificate has been suspended or revoked.

If there are circumstances of suspension or revocation, the certificate should be revoked, and its status should be changed from "valid" to "revoked"; if no such circumstances exist, the certificate should be cancelled, and its status should be changed from "valid" to "cancelled".

Customer service personnel should notify and request the certified organization to immediately stop using the certification certificate and certification mark. The cancelled certification certificate is invalid and cannot be restored.

8、拒绝认证 **Refused to certification**

如公司基于申请评审的结果拒绝认证申请时，将记录拒绝申请的原因并使客户清楚拒绝的原因。申请可能会被拒绝的原因包括但不限于认可业务范围、地理位置限制、专业能力，资源限制等。

If the NOA rejects the certification application based on the results of the application review, the reasons for the rejection will be recorded and the reasons for the rejection made clear to the client. The reasons why the application may be rejected include, but are not limited to, approved business scope, geographical limitations, professional competence, resource limitations, etc.

现场审核期间受审核方已发生重大的产品质量/环境/职业健康安全/信息安全、能源管理

事故或事故的隐患，或发现受审核方存在违反国家法律法规，或受审核方对审核活动不予配合导致审核活动无法进行，或体系存在重大缺陷不符合认证标准要求等情况。审核组应立即通知公司项目管理员，并得到审核部经理批准后终止现场审核活动，审核组向受审核方开具不符合项报告（严重），现场审核不予通过。

If the client has the major quality /environmental/occupational health and safety accidents on products/services or accident potential, or find that the organization has violated the state laws and regulations , or have major nonconformity in system(refer to never conduct internal audit, management review, no planning or planning failure), the audit team shall notify the project management staff, and terminate the audit activities after the approval from the head of audit department., audit team leader shall take record in management systems audit detail report.

认证决定期间如发现受审核方已发生重大的产品质量/环境/职业健康安全/信息安全、能源管理事故或事故的隐患，或发现受审核方存在违反国家法律法规，或体系存在重大缺陷不符合认证标准要求等情况的，应要求受审方限期整改，涉及需暂停或撤销客户证书的，应按照以上暂停或撤销的流程进行处理，最终超期未整改完成的应操作不通过处理，向受审核方发送不通过处理函。

If significant product quality/environmental/occupational health and safety/information security, energy management accidents or hidden dangers are found to have occurred in the audited party during the certification decision period, or if it is found that the audited party has violated national laws and regulations, or if the system has major defects that do not meet the certification standards, the audited party should be required to rectify within a specified period of time. If it involves the need to suspend or revoke customer certificates, the above suspension or revocation process should be followed. If the rectification is not completed within the deadline, the operation should be rejected and a rejection letter should be sent to the audited party.

9、更新认证 **Renewal the certificate**

如公司通过现场审核或其他方式确认受审核方的认证信息变更，包括但不限于获证组织名称、地址、范围、产品标准等，将对认证文件进行更新。

If the NOA confirms the change of certification information of the audited party through on-site audit or other means, including but not limited to the name, address, scope and product standard of the licensed organization, will renew the certificate.