

安诺尔认证服务（上海）有限公司

AENOR Certification Services (Shanghai) Ltd.

授予、拒绝、保持、更新、扩大、缩小、暂停和 撤销认证的管理程序

Management Procedure of Granting, Refusing,
Maintaining, Renewing, Extending, Reducing,
Suspending and Withdrawing Certification

文件编号：AENORC-2019-P10

编写主责部门：技委会

1 目的 Purpose

为保证获证组织的认证证书与规定的要求相一致，维护本机构认证证书、认证标志的权威性和有效性，制定本程序。

Establishing the procedure is to ensure the certificate be consistent with regulated requirements, to maintain the authoritativeness and effectiveness of certification certificate and logo.

2 适用范围 Applicable scope

适用于获证组织在认证范围内授予、拒绝、保持、更新、扩大、缩小、暂停、恢复或撤销认证或者扩大或缩小认证范围。

It applies to granting, refusing, maintaining, renewing, expanding, reducing, suspending, restoring/reinstating or withdrawing of certification.

3 职责 Responsibilities

3.1 技委会负责对获证组织认证范围的扩大、缩小申请的受理和管理工作；

GM office is responsible for accepting and managing of the application for the expanding and reducing of the certification scope;

3.2 客服部负责落实证书的暂停、撤销、注销和恢复工作；

Operation personnel are responsible for manage the suspend, withdraw and recover of the certificates;

3.3 证书管理人员负责更新信息管理系统和向国家主管部门上报获证组织数据；

Certificate management personnel is responsible for updating database in our information system and reporting the certified organization data to the competent national authorities;

3.4 认证决定人员负责对资料进行技术审定；

Technical reviewer is responsible for technical reviewing of audit files;

3.5 经 AENOR China 认证决定后，AENOR 西班牙批准公司所颁发证书的授予、拒绝、更新、暂停、恢复、撤销公司所颁发证书，以及认证范围的扩大和缩小。

AENOR Spain is responsible for approval of granting, refusing, renewing, suspending, restoring, withdrawing of certificate and expanding, reducing of certification scope.

3.6 技委会人员负责 IATF 数据的初始录入，AENOR Spain 负责更新和录入 FSC 数据库（info.fsc.org）条目。

The technical committee members are responsible for the initial entry of IATF data, while AENOR Spain is responsible for updating and entering the entries in the FSC database (info.fsc.org).

4 工作程序 Working Procedures

4.1 认证的批准 Approval of certification

4.1.1 审核组确认受审核方的体系符合要求，在认证审核报告中同意推荐注册。提交认证决定人员进行审定。

The audit team confirms that the auditee's system meets relevant requirements and agrees to recommend registration in the certification audit report. The technical reviewer makers will review the audit files submitted by audit team.

4.1.2 批准发证 To approve and issue certificates

认证决定人员审定符合的资料并做出认证决定。证书管理人员负责证书的打印，证书的发放登记，并按照主管部门的要求定期上报信息；

After the technical reviewers have reviewed and approved the submitted documents, a certification decision will be made. The certificate management personnel is responsible for the printing of the certificate, the issuance and registration of the certificate, regularly reporting information in accordance with the requirements of the competent authority.

4.1.3 认证决定人员需确保 Technical reviewers need to ensure:

(1) 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；

For serious non-conformities, the effectiveness of the corrective measures has been reviewed, accepted, and verified; for minor non-conformities, the corrective measures proposed by the certification client or the planned corrective measures have been reviewed and accepted.

(2) 认证委托人的体系运行符合标准要求且运行有效（FSC不适用）；

The certification client's system operation complies with the standard requirements and is operating effectively (FSC is not applicable).

(3) 认证委托人按照认证合同规定履行了相关义务；

The certification client has fulfilled the relevant obligations as stipulated in the certification contract.

（4）初次认证审核的认证决定应在现场审核后6个月内完成；

The certification decision for the initial certification audit should be completed within 6 months after the on-site audit.

（5）再认证审核的认证决定宜在上一认证周期认证证书到期前完成，最迟应在证书到期之日起6个月内完成。如果在当前认证证书终止日期前，认证机构未能完成再认证审核或对严重不符合实施的纠正和纠正措施未能进行验证，则不应予以再认证，也不应延长原认证证书的有效期。

The certification decision for the re-certification audit should be completed before the expiration of the previous certification certificate, and at the latest within 6 months from the expiration date of the certificate. If the certification body fails to complete the re-certification audit before the termination date of the current certification certificate or fails to verify the corrective and corrective measures implemented for serious non-conformities, re-certification should not be granted and the validity period of the original certification certificate should not be extended.

4.1.4 认证委托人不能满足认证要求的，技委会人员应以书面形式告知其未通过认证的原因。

If the certification applicant fails to meet the certification requirements, the technical committee members should inform the applicant in writing of the reasons for the failure to be certified.

4.2 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证书的有效期为五年）。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12个月。（涉及IATF搬迁客户，若客户在上一次审核结束后12个月内完成搬迁第一或第二阶段审核的，则视为在周期内进行监督审核。若客户在上一次审核结束后的15个月内完成搬迁第二阶段审核的，则视为在周期内进行监督审核，证书保持有效）。在认证证书有效期期满前六个月，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. 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. Six 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.

4.2.1 公司可根据审核组长的肯定性结论推荐保持对客户的认证：

The CB can recommend to maintain the certification of the customer according to the affirmative conclusion of the audit team leader.

4.2.2 任何严重不符合项或其他可能导致暂停或撤销的情况，应由具备能力的认证决定人员进行审定；

Any major non-conformities or other circumstances that may result in suspension or withdrawal shall be reviewed by technical reviewer with competence.

4.2.3 监督审核报告由有适宜能力且未参与审核的认证决定人员复核；

The surveillance audit report shall be reviewed by certification decision maker who has adequate competence and is not involved in this audit.

4.2.4 认证决定人员需确保Technical reviewers need to ensure：

获证组织认证信息未发生变更,不存在扩大、缩小认证范围的情况；

The certification information of the certified organization has not changed, and there is no situation of expanding or reducing the scope of certification.

4.2.5 安诺尔中国建立了监督审核的监视机制并予以实施,可确保监督审核活动的有效性。

The AENOR China has established a monitoring mechanism for supervision audits and implemented it, which ensures the effectiveness of the supervision audit activities.

4.3 认证范围的变更 Change of certification scope

4.3.1 当获证组织在原认证范围外（法律规定的经营范围内）建立了符合体系标准要求并有效实施，可以向本机构提交扩大认证范围的申请；

When the certified organization establishes the management system according to the requirement of relevant standards and implements effectively in the scope outside of the original certification scope (comply with the scope of its business license), the certified organization could submit application for expending scope.

4.3.2 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，可以向本机构提交缩小认证范围的申请。

If the surveillance audit and other information indicate that the operation of the management system of the organization and the products covered do not meet the standard requirements or the certified organization's business scope changes and the certification scope needs to reduce, the organization can submit an application to the CB to reduce the scope of certification.

4.4 认证范围扩大 Expanding of certification scope

4.4.1 扩大分类 Expanding classification

（1）获证组织在原有的认证范围中增加其产品（或服务）种类；

The certified organization increases its product (or service) category to the original scope of certification.

（2）获证组织生产（或服务）场所增加；

The certified organization increases sites of production (or service).

（2）获证组织进入一个新的业务范围，申请扩大认证范围。

The certified organization enters into a new business field, and needs to apply for expending certification scope.

4.4.2 延展 Extension

特指产品认证在同一个认证单元中的规格型号的扩展。

Specifically refers to the extension of the specification and model of the product

certification in the same certification unit.

4.4.3 扩大范围的管理 Management of expanding scope

（1）当申请方申请扩大获证组织原有认证范围时，需提供变更的体系文件和相应的资料，合同评审部进行合同评审并安排审核；

When the applicant applies to expand the original certification scope of the certified organization, it is necessary to provide the changed system files and relevant materials. The operation department conducts contract review and arranges for review.

（2）审核组实施现场审核，并提交现场审核的相关资料，经认证决定人员评审，将为其颁发经扩大认证范围的认证证书；

The audit team conducts on-site audit and submits relevant audit files of on-site audit. After being reviewed by the certification decision maker, will issue a certification certificate with an expanded certification scope.

（3）根据获证组织要求可单独进行扩大认证范围审核，也可同监督审核或再认证一起进行。单独进行扩大范围审核时，审核条款应覆盖认证标准所要求的主要条款。与监督审核同时进行，应覆盖扩大认证范围部分相对应的条款。方案策划人员应根据新的审核范围所涉及活动/产品的复杂性、可能的风险等级、组织新增规模等因素确定增加的审核人日；

According to the requirements of the certified organization, the expanding certification scope can be independently audited, and it can also be audited together with the surveillance or recertification audit. When conducting an expanding scope audit independently, the audit clauses should cover the main clauses required by the certification standards. When conducting together with the surveillance audit, the clauses corresponding to the part of expanding of certification scope shall be covered. The project planner shall determine the additional auditor day based on factors such as the complexity of the activities/products involved in the new audit scope, the possible risk levels, and the increased scale of organization.

（4）对于产品的延展，可以根据获证组织提供的型式检验报告，生产工艺/流程等证明是在同一认证单元的型号扩展，可不进行现场检查。书面的证据应提交给认证决定人员进行复核，符合要求的可换发证书。

For the extension of the product, according to the type test report provided by the

certified organization, the production process/process and others prove that the extension of specification are in the same certification unit, and the on-site inspection can be not performed. Written evidence should be submitted to the certification decision maker for review, and if it meets the requirements, the certificate can be re-issued.

4.5 认证范围缩小 Reducing of certification scope

如果获证组织在认证范围的某些部分持续地或严重地不能满足认证要求，应缩小其认证范围。

If the certified organization is unable to meet the certification requirements continuously or severely in certain parts of the certification scope of certification, AENOR China shall reduce its certification scope.

4.5.1 缩小分类 Reducing category

(1) 认证依据标准的要求缩小；

The scope shall be reduced according to standard requirement.

(2) 覆盖的产品范围缩小；

The scope of product covered is reduced.

(3) 体系覆盖的区域缩小；

The areas covered by management system are reduced.

(4) 产品单元或规格型号的缩减；

Reduction of product units or specifications;

(5) 获证组织未能在规定的时间内未能有效关闭不符合。

The certified organization failed to effectively close the non-conformity within the stipulated time.

4.5.2 缩小的管理 Management of reduction

(1) 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，组织应通知本机构；

The organization should inform AENOR China when the product/service scope or the organization structure is reduced for some reason.

(2) 监督审核时，审核组发现组织的部分范围已不符合要求，应缩小认证范围；

During the surveillance audit, the audit team finds that part of the scope of the organization can't comply with the requirements, the certification scope should be reduced.

(3) 缩小后的认证范围应满足独立认证的条件。

The reduced certification scope should meet the condition of independent certification.

(4) 当缩小认证范围时，可采取如下措施：

When reducing the certification scope, the following measures can be taken:

—由于环境因素/风险因素的减少和体系覆盖的部门及分支机构的减少，无需现场审核，经认证决定人员确认书面申请和相关证据后，可办理有关换证手续。

- Due to the reduction of environmental factors/risk factors and the reduction of departments and branches covered by the system, no on-site audit is required. After the certification decision maker confirms the written application and relevant evidence, relevant formalities for certificate replacement may be handled.

—由于工艺/流程的变化、原材料的变化、生产设施和产品种类等变化，应安排现场审核（可结合监督或再认证进行），认证决定人员对审核后的材料进行审定满足要求后，可办理有关换证手续。

- Due to changes in process/chart, raw materials, production facilities and product types, on-site audits (which may be combined with surveillance or re-certification audit) shall be arranged. After the certification decision maker has verified the materials after the audit, and the materials meet the requirements, relevant formalities for certificate replacement may be handled.

—由于工艺/流程的变化、原材料的变化、生产设施和产品种类等的变化，现场审核时发现缩小后不能独立满足认证要求，审核组应建议暂停。

- Due to changes in process/process, raw materials, production facilities and product types, the on-site audit found that the certification requirements could not be met independently after the reduction, and the audit team should recommend suspension.

4.5.3 范围的扩大或缩小不会导致证书有效期的延长期限超过最初授予证书的期限。

The change of scope should not include or result in an extension of the certification's expiry date beyond the time period for which it was originally granted;

4.5.4 范围扩大或缩小，并给获证组织更换证书后，应要求获证组织退还旧证书，或对旧证书进行销毁。

Where applicable, the old certificate should be returned to the DCI or destroyed by the

client, and a new certificate issued reflecting the change of scope.

4.6 认证证书的暂停 Suspending of certificate

4.6.1 暂停准则 The rules for suspending

当有以下情况之一时，本机构将在调查核实后暂停其认证证书。一般暂停期限最长不得超过6个月（FSC-COC要求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，可直接撤销/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。

If exists one of the following circumstances, AENOR China will suspend its certificate after investigation and verification. Generally the suspension period shall not exceed 6 months (FSC-COC request 12 months). For special certified organizations, such as the case of explicitly abandoning the certificate, seriously ineffectiveness of system, etc., the organization's certificate can be directly withdrawn/deregistered or the certificate can be withdrawn before the suspension expires.

- 1) QMS、EMS、OHSMS、IATF 持续或严重不满足认证要求的，包括 QMS、EMS、OHSMS、IATF 文件与实际业务运作严重脱离；
- 2) 不满足 QMS、EMS、OHSMS、IATF 适用的法律法规要求，且未采取有效纠正措施的；
- 3) 受到与质量、环境，职业健康安全相关的行政处罚，且尚未完成整改的；
- 4) 发生重大质量事故，反映获证组织 QMS/IATF 运行存在重大缺陷的（适用于 QMS, IATF）；
- 5) 发生突发环境事件的（适用于 EMS）
- 6) 发生较大生产安全事故，反映获证组织 OHSMS 运行存在重大缺陷的（适用于 OHSMS）
- 7) 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；
- 8) 持有的与 QMS、EMS、OHSMS、IATF 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；
- 9) 不能按照规定的时间间隔接受监督审核的；
- 10) 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；
- 11) 不承担、履行认证合同约定的责任和义务的；

- 12) 被有关行政监管部门责令停业整顿的；
- 13) 发生与质量、环境、OH&S 相关重大舆情的；
- 14) 主动请求暂停的；
- 15) 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
- 16) 其他应暂停认证证书的。
- 17) 拒绝支付 AAF 年度管理费（FSC-COC 适用）。

4.6.2 暂停管理 Management of suspending

（1）获证组织存在符合暂停准则情形之一的，客服部经理应及时办理暂停手续，并书面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。如受审核方对暂停决定提出合理异议，应立即报告高层领导予以解决。

The certified organization has any situation in line with the suspension rules, the operation department of AENOR shall promptly handle the suspension formalities and inform the certified organization in writing that the organization shall not use the certification certificate, certification mark or reference certification information in any way during the suspension period. If the certified organization raises a reasonable objection to the suspension decision, the department shall report to top management for dealing with it.

（2）由总经理授权客服部经理作为认证决定人员对证书暂停进行审批，经AENOR 西班牙批准后，证书管理人员应在1-2个工作日内向国家行业主管部门上报暂停信息。

The operation personnel shall send suspend application to AENOR Spain, after approval, the certificate management personnel shall report the suspension information to the national industry authority within 1-2 working days.

4.6.3 暂停认证资格的恢复 Restoring for suspended certificate

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，并且提供了有效的证据或经审核，客服部经理作为认证决定人员核准，AENOR 西班牙批准后可恢复。恢复被暂停获证组织的证书的标志，且更新机构管理系统证书状态，在证书状态变化时，网站公示状态和证书状态变化保持同步。

If the suspended certified organization has fundamentally eliminated the root cause of the suspension during the suspension period, the Customer Service Manager, authorized by the General Manager, shall act as the certification decision-maker to approve the reinstatement of the suspended certificate. Upon approval, the organization's certification certificate shall be

reinstated, a notice of restoration of certification registration status shall be issued, the certificate status in the agency's management system shall be updated, and the information shall be reported to the CNCA system.

4.7 认证证书的撤销 Withdrawing of certificate

4.7.1 撤销准则 The rules for withdrawing

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

If the certified organization has one of the following circumstances, the operation department shall withdraw its certification certificate after obtaining relevant information and investigating and verifying, and require the holder of the certificate to stop using the certification certificate/certification mark:

(1) 被注销、破产或撤销法律地位证明文件的；

The legal status document of the certified organization is cancelled, withdrawn, or bankrupt

(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；

Those who have been included in the "National Enterprise Credit Information Publicity System" and "Credit China" as having serious illegal and untrustworthy records

(3) 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；

The certified organization refuses to cooperate with the supervision and inspection carried out by the certification supervision department, or provides fake materials or information for inquiries and investigations on related matters.

(4) 拒绝接受国家产品质量监督抽查的；

The certified organization refuses to accept random inspection of product quality by national supervision department.

(5) 出现重大的产品/环境/安全事故，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；

A major product/environment/security accident occurred. The cause of the accident is that the the system has serious defects or the organization fails to investigate the cause of the major accident and take effective corrective actions during the suspension period.

(6) 严重违反双方认证合同规定的；

Serious violation of the provisions of the two-party certification contract.

(7) 有其他严重违反法律法规行为的；

Other serious violations of laws and regulations.

(8) 暂停期限已满但导致暂停的原因未得到解决或纠正的（包括持有的与范围有关行政许可证明、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）

The suspension period has expired but the reasons for the suspending hasn't been resolved or corrected (including the held license, qualification, CCC certificate, etc. involved with the scope have expired but the application has not been approved).

(9) 没有运行管理体系或管理体系已不具备运行条件的；

No operating management system or management system has no operating conditions

(10) 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；

The certified organization doesn't correctly quote and publicize the obtained certification information in accordance with relevant regulations, causing serious impact or consequences, or the certification body has requested correction, but the organization has not corrected for more than 2 months.

(11) 其他应当撤销认证证书的；

Other circumstances in which the certificate should be withdrawn.

(12) 获证客户主动要求撤销证书。

The certified organization takes the initiative to request a withdrawing;

(13) 获证组织出现突发环境事件，经生态环境主管部门确认因获证组织违规而造成的

(14) 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

(15) 发生重大安全事故的

4.7.2 撤销手续 Withdrawing formalities

(1) 客服人员应按规定办理撤销手续，并书面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。如受审核方对撤销决定提出合理异议，应立即上报高层领导予以解决；

The operation personnel shall handle the withdrawing formalities in accordance with the regulations, and inform the certified organization in writing that the organization shall not use the certification certificate, certification mark or reference certification information in any way after the certificate is withdrawn. If the audited party raises a reasonable objection to the withdrawing decision, the department shall immediately report it to top management for dealing with it.

(3) 客服部经理作为认证决定人员对证书撤销进行审批，经AENOR西班牙批准后，证书管理人员应在1-2个工作日内向国家行业主管部门上报撤销信息。

The operation personnel shall send suspend application to AENOR Spain, after approval, the certificate management personnel shall report the suspension information to the national industry authority within 1-2 working days.

(4) 认证证书自撤销后，如获证组织还想申请认证证书，应按初审提交申请。

After the certificate has been withdrawn, if the certified organization still wants to apply for a certificate, it shall submit the application as initial audit.

4.8 拒绝认证 Refuse the 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 AENOR China rejects a certification application based on the review results, it will record the reasons for the rejection and make them clear to the client. Reasons for potential rejection include, but are not limited to, restrictions on the scope of recognized business operations, geographical limitations, professional competence, and resource constraints.

5, 认证证书/认证标志的注销 Cancellation of certification certificate/certification mark

(5) 获证组织主动申请不再保持认证证书时，由总经理授权客服部经理作为认证决定人员对证书注销进行审批，经AENOR西班牙批准后，证书管理人员应在1-2个工作日内向国家行业主管部门上报注销信息。

(6) IATF企业未在初审二阶段/再认证审核结束日36个月完成再认证审核，证书应予以注销处理。（企业以书面形式告知转换机构除外）

客服部需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; If the organization fails to complete the recertification audit within 36 months from the closing date of the Stage 2 initial certification audit or previous recertification audit, the certificate shall be cancelled, except where the organization has notified the certification body of transfer in writing.

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.