



中鑫国际认证（江苏）有限公司
Zhongxin International Certification (Jiangsu) Co., Ltd.

公开文件—管理体系认证流程基本规定
Public Document—Management System
Certification Process Basic Regulations

Prepared By/编制人:

Reviewed By/审核人:

Approved By/批准人:

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Zhongxin International Certification (Jiangsu) Co., Ltd

编号 No.:
ZXIC-WI-12

公开文件—管理体系认证流程基本规定
Public document—management system certification
process basic regulations

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1. 目的 purpose

为了让拟申请管理体系认证的组织（以下称组织或受审核组织）了解管理体系的认证程序，特制定本说明。In order for the organization to be applied for the validation of the management system to understand the certification procedures of the management system, make this statement.

2. 适用范围 scope

适用于各拟申请管理体系认证的组织了解认证程序。 Applicable to each organization to apply for the certification of the management system.

3. 申请认证条件 Application certification conditions

3.1 组织应持有工商行政管理部门核发的营业执照、有关许可证书完备（法规要求时）。

The organization shall hold a business license issued by the administrative department for Industry and commerce, and complete the relevant license (if required by law) .

3.2 按照适宜的管理系统标准建立并运行体系至少 3 个月。Set up and operate the system according to the appropriate management system standards for at least 3 months..

3.3 产品 / 服务质量稳定，能正常批量生产 / 服务。 Product / service quality is stable, able to mass production / service.

3.4 遵纪守法、二年内未发生过重大质量和环境、职业健康安全事故。 Abide by the law, two years have not occurred in major quality and environmental protection, occupational safety and health incidents.

4. 程序 procedure

4.1 询问组织可通过电话、函件或面谈向公司询问了解有关管理体系认证的程序及有关情况，索取资料。 Ask the organization through the telephone, letter or interview to the company to ask about the management system certification procedures and relevant information, for information

4.2 认证申请 certification application

4.2.1 组织了解公司情况后，可填写公司印制的《管理体系认证申请表》，并提供申请表要求的完整附件资料，交公司市场部。 Organization to understand the company's situation, you can fill out the company's printed "management system certification application form", and

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provide the application form of the full annex information, to the company's marketing department.

4.2.2 由公司对申请进行评审，符合要求（包括公司有能力认证）根据公司收费标准确定费用，经双方协商签订认证合同，不能接受的需向申请组织说明原因。By the company on the application for review, to meet the requirements (including the company's ability to determine the cost of certification) according to company charges, after consultation between the two sides signed a contract certification, cannot accept the need to explain the reasons for the organization.

4.3 收费 Charges

4.3.1 在第一阶段审核前一周内，组织应将管理体系认证初审费用电汇或支票转帐公司财务部。财务部确定款项到帐后，即可开具相应的发票给组织。 Within one week prior to the first phase of the audit, the organization shall verify the management system for the initial cost of the wire transfer or check transfer to the financial department of the company. Finance department to determine the amount of money to the account, you can issue a corresponding invoice to the organization.

4.4 第一阶段审核（含现场的文件审核）The first phase of the audit (including on-site document audit)

4.4.1 由审核组长组织进行第一阶段审核的主要目的是了解组织管理体系运行的整体策划情况、文件的符合性、审核范围、组织规模、审核资源与条件等，并确定第二阶段审核的可行性。 By the audit team leader organization for the first stage of the audit is to understand the overall planning, organization and management of file system operation compliance, audit scope, audit organization scale, resources and conditions, and to determine the feasibility of the second phase of the audit.

4.4.2 第一阶段审核可以是在组织的现场完成。具体情况，也可以在非现场完成。不在现场进行的第一阶段详见《审核人日确定准则》的文件规定。 The first stage audit can be done on the site of the organization. Specific circumstances can also be done in off-site. See "the provisions of the first stage in the field of audit criteria to determine the" file.

4.5 第二阶段审核 Second stage audit

4.5.1 审核计划 Audit Plan

审核组长在认证组织的第一阶段的不符合完成纠正并认证符合要求后，在第二阶段现场审

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核前将审核计划发送给组织，组织可以对审核组组成，日程安排提出意见，并需签字确认后传回本公司。The first stage in the certification organization audit leader does not comply with the completion of corrective and verified to meet the requirements, in the second stage audit before the protracted nuclear program sent to the organization, the organization can form of audit group, schedule comments, and signature transmitted back to the company.

4.5.2 现场审核 site audit

4.5.2.1 审核组应准时到达受审核方，并与客户代表沟通审核有关事项。The audit team shall reach the receiving party on time and communicate with the client representative for the audit.

4.5.2.2 首次会议：首次会议由组长主持。时间不超过半小时。First meeting: the first meeting chaired by the group leader. No more than half an hour.

4.5.2.3 现场审核：按预定计划进行。现场需要调整计划可与审核组组长协商。Site audit: as scheduled. The site needs to be adjusted with the audit team leader.

4.5.2.4 中间会议：每天审核结束，审核组召开内部会议，若出现重大不合格（严重不合格），审核组会召集组织领导层召开临时会议。末次会议之前审核组与组织领导交换意见。Intermediate meeting: the end of each audit, the audit team held an internal meeting, if there is a major failure (serious failure), the audit team will convene an interim meeting of the organization leadership. Before the meeting, the audit team and the organization leaders exchanged views

4.5.2.5 在召开末次会议前，审核组长制作审核报告，并请受审核组织客户代表确认签字加盖公章。Before the end of the meeting, the audit team leader to make the audit report, and requested by the audit organization to confirm the signature of the customer's official seal.

4.5.2.6 末次会议：由审核组长主持。依照审核报告等资料报告组织管理体系运行的整体情况、存在问题、审核结论等。last meeting: hosted by the audit team leader. According to the audit report and other information to report the overall situation of the organization management system, problems, audit conclusions, etc..

4.5.2.7 审核结论：现场审核结论分为推荐、有条件推荐、不推荐三种（详细说明均会在审核会议上说明）。Audit conclusion: on-site audit conclusions are divided into three kinds of recommendation, conditional recommendation, not recommended (detailed instructions will be described in the audit conference).

4.5.2.8 纠正要求：组织应对审核组提出的书面不符合，予以改正并采取纠正措施，并将书

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面纠正和措施实施的资料报公司审议。Correction requirements: the organization shall submit to the audit team the written non conformity, correction and corrective action shall be taken, and the implementation of corrective measures and the information submitted to the company.

4.6 认证决定与审议 Certification decisions and considerations

4.6.1 公司组织合格的认证人员^{蓝色}对审核组提供的审核文件进行体系评价与审议。对通过审议的，将提报总经理做认证决定并予以注册。The qualified members of the organization shall conduct a systematic review and review of the audit documents provided by the audit team. In the case of deliberation, the general manager shall be submitted to the general manager for certification and registration.

4.7 认证决定并予以注册 Certification and registration

4.7.1 认证决定人员负责做最终的认证审定与注册。批准后 ZXIC 公司将在 20 个工作日内可发放相关的认证证书,有关证书和标志的使用详见《公开文件-获证组织需知》。

The certification personnel are responsible for final certification and registration. After the approval of the ZXIC company will be issued within 20 working days of the relevant certificate of certification, the use of the relevant certificates and signs are detailed in the "public documents - certified organizations need to know".

4.7.2 公司将对获证组织在公司网站上公开。The company will be organized on the company's website

4.8 通报制度 Notification system

4.8.1 获证组织在获得证书后，当体系发生变化，包括文件修改、人员变动、质量、环境事故、职业健康安全事故、重大顾客投诉等，均须以书面方式向公司审核部通报。The certificate in the certificate, when the system changes, including file changes, changes in personnel, quality, environment, occupation health and safety accidents, major customer complaints, shall be in writing to the company informed the Ministry of audit.

4.9 监督 Tracing audit

再认证的年度除外，至少每个日历年应进行一次监督。初次认证之后第一次监督的日期，自认证决定当日起不应超过12个月。Except for the year of recertification, at least one calendar year audit shall be conducted for each calendar year. The date of the first follow-up audit after the initial certification shall not exceed 12 months from the date of the decision

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4.10 再认证审核 Recertification audit

证书有效期为三年，在证书到期前至少 1 个月，获证方若需继续保持证书，可向公司市场部提出再认证申请，填写申请表、签订合约、其收费为初审费的 2 / 3。审核安排及方式与初审相同。The certificate is valid for three years, at least 1 months before the expiration of the certificate in the certificate, if required to maintain a certificate, can put forward the review application to the company's marketing department, fill in the application form, signed the contract, the fee for the examination fee of 2 / 3. Audit arrangements and methods and the same.



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1. 目的 purpose

为使获取本机构管理体系证书的组织了解相关认证规则事项，特制定本文件。

This document is for the certified organization to understand related certificate rules

2. 适用范围 Scope

适用于已经正式获取本机构颁发的管理体系认证证书的客户（也适用拟申请管理体系认证的客户作为认证规则的预先了解）。 This document is applicable to the certified organization. (it is also for the applicant to understand certificate rule in advance)

3. 规则事项概述 Provision description

3.1 本公司全体成员感谢你们选择了我们作为合作的伙伴，并对贵组织的管理体系获得认证注册表示衷心的祝贺。我们热烈欢迎贵组织加入本公司的信誉共同体，在证书有效期内，本公司与贵组织将荣辱与共，协同完成获证管理体系的维护、改进工作，继续深化管理体系管理，以期取得更佳的经济效益及社会效益。 All our staff appreciate you for choosing our company as your partner. Congratulate to you for your management system has been certified and registered . ZXIC appreciate your respected organization shall be our partner of credit community. In order to obtain better economic and social benefits, we will support your management system for maintain, improve, and further study during your certificate valid period.

3.2 本公司对获证管理体系维护管理的归属部门为**市场部**，负责组织协调本公司与获证组织间的日常联络、监督审核等工作，本公司管理部协助其工作。同时本公司将试行在与获证组织协商后，与客户相关人员的定期访问形式，保持日常联络的经常化。另外，本公司负责对来自获证组织、有关政府职能部门、社会团体和个人的重大申诉和投诉的处理。 Our **market** department shall take charge in the certified organization. Shall keep daily contact with client, remind certified organization for surveillance audit. Management department shall support

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audit department. Our company purpose a trial for paying regularly visit to our client, keep in frequent touch with client. We also handle major complain from relevant governmental function and social community.

3.3 对管理体系获证的维护管理须符合有关的认证规范及作为信誉共同体的一致性要求，为此本公司与贵组织必须协同，以便在对获证管理体系的维护过程中，在所涉及的以下各方面工作上都能保持良好的运作。In order to carry out all work smoothly, as requirement of a credit community, manage certified organization must conform to relevant certificate provision, our company must work together with your organization.

3.4 关于认证证书、认证资格、证书、标志的使用规则：具体执行本公司的有关规定。The use rule for certificate, qualification and logo must conform to our company' s provision.

3.5 对获证组织监督审核 Surveillance audit to certified organization

监督审核是本公司认证获证组织的管理体系是否持续运作，同时考虑获证组织运作方面的变化是否对其体系产生了不利的影响，并评定其体系是否满足认证要求。Surveillance audit shall check whether the certified organization continue implement their management system, whether any major changes about implementation have bad effect on management system , and assess whether the management system still meet the assessment requirement.

3.5.1 监督审核分定期和不定期两种形式 There are two forms of surveillance audit: random and fixed period.

本公司对获证组织定期的监督审核在证书的有效期内每年一次非均衡分布进行，正常情况下初次认证之后第一次监督审核的日期，自认证决定当日起不应超过 12 个月。

本公司审核部将提前三个月通知各获证组织本年度监督审核的具体日期时间安排。

Our company shall implement fixed period surveillance audit every year. Normally, the next surveillance audit date should within 12monthes after the certification decision. Our audit department shall inform certified organization the detail next surveillance audit agenda information.

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不定期监督审核由本公司安排，通常是在获证组织管理体系的有效性可能出现失控情况时进行。以下情况，可进行不定期的监督审核：Our company perform random surveillance audit to the certified organization when their management system maybe out of control. Our company perform random surveillance audit when following situations arose:

- 相关方对获证组织有严重投诉，或反应其有隐瞒事实真相；Serious complain from relevant party, or relevant party accuse the certified organization intend to hide the truth.
- 获证组织的产品被相关机构抽查不合格；The product of the certified organization has been sampling checked as non-conformity.
- 管理体系有较大变化、影响到体系运行的有效性；Major change in management system has effect on the effectiveness of the implementation of the management system.
- 正常监督审核时有较多不合格，审核组建议增加监督审核。

If there are several NC, audit team will advise to increase follow-up audit

3.5.2 监督审核的实施 Conducting the surveillance audit

监督审核由本公司组织实施，具体的监督审核活动将由本公司根据年度计划安排，以派出合格的审核组进行现场审核的方式进行。定期监督审核的现场审核计划由审核组长于审核实施前一周通知，以便获证组织做出安排。非定期监督审核计划可于审核组到现场后提交获证组织，也可提前预知。非定期监督审核不收取审核费用。

Surveillance audit shall be conducted by our company, the detail activities shall be arranged by our company according to the annual plan. We shall arrange qualified audit group to conduct on-site audits. Audit team leader shall notice the certified organization and send them the site audit plan one week in advance, for the convenience arrangement of certified organization. Random surveillance audit plan shall be provided when audit team arrive or in advance. Random surveillance audit will be free charge.

3.5.3 监督审核的延期 Delay for surveillance audit.

确因特殊原因，获证组织无法按时接受定期监督审核，应书面向本公司提出延期

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申请，获批准后可延期。因延期监督审核有可能引至该获证客户管理体系认证证书的暂停或撤销。Due to specific reason, certified organization couldn't accept surveillance audit, should submit written application to our company, after get approval, the surveillance audit can be delayed. As delay for surveillance audit, it may cause the suspension or termination for the management system certificate.

3.6 获证组织通报制度的规则 Report system rules for certified organization

3.6.1 通报制度的是本公司与获证组织间进行沟通的一种手段，该制度要求获证组织指定一个常设机构负责管理体系的维护并保持与本公司的经常性联络，及时反应有关信息。当获证组织发生如下情况时，应在一周内及时以书面形式向本公司通报：

Report system is a way of company keep touch with certified organization. The system requires certified organization appoint a specific department to maintain the implementation of the management system and keep daily touch with our company. The certified organization should feedback information to our company timely, When follow status occur, certificated organization should submit written notice to our company.

- a. 管理手册等管理体系文件作重大修改；major change in management document such as management manual.
- b. 管理体系覆盖的产品结构、生产规模、场地发生重大变化；Major change in product structure, production scale or site which covered by management system.
- c. 组织负责人，尤其是最高管理者发生变动，或组织机构发生了较大的变动；major change in the head of the organization, especially top management or major change of organization structure.
- d. 发生了重大的质量、环境污染物超标排放、职业健康安全事故、食品安全等事故；when quality, environment, occupational health and safety accident, excess emissions of pollutants and food safety accidents occur.
- e. 国家主管部门的产品或环境检查抽查不合格；when quality or environment sampling checked by governmental function parties as non-conformity.
- f. 产品出现较大批量的不合格或因质量问题引起了用户退货，且退货量较大；large

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quantity non-conformance products occur or large quantity products returned from customer side due to serious quality issue.

g. 用户有重大投诉并产生了较大影响的；serious complain from user side and has great influence.

h. 其他涉及认证范围的改变； change in other relevant certification scope.

i. 联系方式发生变化时。contact window changed.

3.6.2 凡与管理体系有关的较大变化，影响到管理体系运行及其有效性的，都应在通报的范围之内。All major change related to management system, have influence on the effective implementation of management system.

3.6.3 书面报告的内容包括情况说明、原因，已采取或拟采取的措施等，事后须向本公司报告矫正结果的情况。 Written report content includes: status description, reason, actions have taken or will take; the certified organization shall report the corrective result to our company.

3.7 申诉和投诉的处理规则：执行《申诉和投诉处理程序》的有关规定。handle rules for appeals and complains: follow 《appeals and complains procedure》

3.8 扩大或缩小认证范围及组织名称、地址的变更 expanding or reducing certification scope, change for organization name or address

3.8.1 扩大认证范围的情况 status for expanding certification scope

a. 如管理体系依据的模式标准变化；management system standard change

b. 增加管理体系覆盖的产品；expand the certification scope

c. 管理体系覆盖的运作场所增大。operation place which covered by management expanded .

3.8.2 缩小认证范围的情况 status for reducing certification scope

a. 如管理体系依据的模式变化；management system standard change

b. 减少管理体系覆盖的产品或原产品中部分停产或改产；reduce product certification scope or prior products EOL or changed

c. 管理体系覆盖产品的运作场所缩小 operation place which covered by management reduced.

3.8.3 申请方式：获证组织要求扩大或缩小认证范围时，应在下次监督审核或再认证

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前的一个半月内提出书面申请，填写申请表、签订认证合约，原则上，不临时接受扩大范围的申请； Application means: when certificated organizations require expands or reduces the certification scope, should submit written application within one month prior to the surveillance audit. Fill application form, sign contract. We don't accept temporary application for expanding certification scope in principle.

a. 要求扩大或缩小认证范围的有关产品的说明书； detail product specification description which required be expanded or reduced.

b. 申请扩大的产品的研制或生产全过程能力（包括技术要求、作业流程、关键 / 特殊工序、新添重要设施，人员培训等）的说明； detail description of the design and produce ability which required be expanded. (include technical requirement, operate procedure, critical/special process, new infrastructure and staff training)

c. 申请缩小认证范围的理由和改产 / 停产说明； apply reducing the scope reasons and suspending explanation

d. 手册、程序相应增删部分。 changes in management system manual or procedure

3.8.4 审核 Audit

3.8.4.1 审核组按照有关认证审核的程序实施审核并完成有关规定的记录，尤其对扩大认证范围的过程、产品及其所涉及的文件制度、人员能力等进行重点检查与取证。

Audit team conduct audit activity according to relevant procedure document and complete relevant required record. Especially focus on sampling check for expanding scope product, process, file system and staff ability .

3.8.4.2 当获证组织的扩大认证范围的产品、过程取证无具体事实的，公司不予认同其扩大该认证范围。 When certified organization can't provide actual expanding product or process, company will not accept the expanding scope.

3.9 再认证审核的申请 Application for recertification

证书有效期届满或者恢复使用已暂停的证书，组织如要继续保持对其管理体系的认证，可向本公司提出再认证审核申请，再认证审核一般应在证书有效期到期 1 个月内向认证本公司提交《认证申请表》并签订再认证合约，再认证后重新颁发认证证

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书，进入下一个证书有效期。 When the certificate is out of date, or restore suspending certificate, the certified organization would like continuously keep the certificate, he/she could apply for recertification audit. He/she should submit 《certification application form》 and sign contract with our company within one month prior to the expiration date. After the recertification audit, our company shall grant new certificate to certified organization, the valid period will be recalculated.

3.10 授予、保持、更新、扩大、缩小、暂停及撤销认证范围的处置：执行《授予、更新、保持、暂停、恢复、撤销、注销、拒绝认证证书控制程序》和《获证组织认证范围变更控制程序》的有关规定。 follow the rule of 《Issuance, renewal, maintenance, suspension, reinstatement, withdrawal, cancellation, rejection of certificate control procedure》 and 《Certified organization scope changes control procedure》

3.11 认证要求的更改 change of certification requirement

当认证要求（如管理体系认证标准换版）发生变化，本公司将要求获证组织变更体系以适应认证要求的变化，并实施审核。对于新标准转换，获证组织应按适宜的新标准修改体系档，并运行三个月，实施内部审核和管理审查，本公司依据双方签订的合约和认证申请表 对获证组织依据新版本标准实施审核通过后，换新版标准的证书，证书有效期为三年。 When the certification requirement changed (such as management system certification standard update to new version). Our company shall require certified organization adjust their management system to fit the changed standard, and then conduct audit activity. For new version standard transform, certified organization should adjust their system document in line with new version standard and implement their system at least 3 months, implement internal audit and management review. Our company will conduct certification according to new version standard base on contract and application. New version standard certificate will be granted after passed the certificated audit. New valid period will be recalculated.

4. 4 申请认证组织/获证组织的权利和义务 Right and responsibility of

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applicant/certified organization

4.1 权利 Right

4.1.1 认证申请（委托）人有权了解认证机构运作依据和认证程序； applicant have a right to know the certification procedure and basis of certification body perform.

4.1.2 有权索取有关认证的说明和公开文件； have a right to obtain certification illustration and public file.

4.1.3 有权对审核计划和审核组成员提出异议，并得到合理解决； have a right to suggest the audit plan and audit team, and got reasonable solution.

4.1.4 有权对审核组提出的不合格事实进行确认； have to right to confirm whether the non-conformity report which issued by audit team is a fact or not.

4.1.5 有权对审核组工作和审核结论提出质疑； have a right to question the audit work or audit conclusion performed by our audit team.

4.1.6 认证机构批准的正式审核报告与审核组的审核结论有差异时，有权要求认证机构作出解释； have a right to request certification body to explain the detail reason if the audit conclusion is different from final audit report.

4.1.7 当认证机构将审核 / 监督审核分包给外部机构或人员时，有权提出意见，甚至不同意（应有正当理由）。 have a right to give suggestion or don' t accept at all(with a good reason) if certification body outsource other body to conduct audit.

4.1.8 有权正确使用认证证书和标志，有权登入认证机构名录并公告； have a right to use the certificate and logo, and also be registered and be open to public.

4.1.9 有权要求认证机构保密和遵守本方的有关规定； have a right to request certification body keep confidentiality and comply with their rule.

4.1.10 有权对认证机构 / 人员提出申诉 / 投诉； Have a right to appeal/complaint to the CB

4.1.11 有权要求认证机构对其他有关认证问题作出解释或澄清。 have a right to request certification body to explain or clarify relevant certification issue.

4.2 义务 responsibility

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4.2.1 始终遵守认证机构认证审核的有关程序规定和公开文件的要求; should always abide by the audit procedure and the requirement of the public document

4.2.2 按期缴纳费用（认证不通过时也应缴纳费用）; should pay audit fee on time(when the audit didn't be passed, still need to pay the audit fee)

4.2.3 为认证机构、认证单位进行的现场审核、认证、检查、监督及再认证审核和解决申诉做出必要安排, 包括接受认证机构的文件审核, 调阅所有记录(包括客户申诉); should provide necessary arrangement for certification body when they conduct on-site audit, verification, check ,surveillance, recertification or solve appeal activity. Include accepting document audit, obtain all record(include customer complain)

4.2.4 积极配合审核, 如实提供情况、说明、资料、文件、记录; should actively cooperate with audit, provide truthful, instructions, data, documents and records

4.2.5 正确使用认证证书和认证标志, 需就使用遵守在获准认证的范围内作声明; should right use certificate and logo, should declare the use scope which be covered by certificate.

4.2.6 在宣传认证结果时不得损害认证机构的声誉, 不得做出使认证机构认为误导或未授权的声明; shouldn't harm the reputation of the certification body when propaganda the certification result. Shouldn't miss lead or declare which didn't be authorized by certification body.

4.2.7 当认证被暂停或撤销时, 应立即停止涉及认证内容的宣传, 并按认证机构要求交回所有认证文件; When certification terminated temporarily or terminate, should terminate immediately propagandizing involved certificate content and return the entire certificate file as the certification body required.



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Zhongxin International Certification (Jiangsu) Co., Ltd.

公开文件-保密性管理规定
Public Documents-Confidentiality Regulations

Prepared By/编制人:

Reviewed By/审核人:

Approved By/批准人:

Issue Date: 05/12/2019

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中鑫国际认证（江苏）有限公司
Zhongxin International Certification (Jiangsu) Co., Ltd

编号 No.:
ZXIC-WI-14

公开文件-保密性管理规定
Public Documents-Confidentiality Regulations

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	公开文件-保密性管理规定 Public Documents-Confidentiality Regulations	页码 Page: 3

1. 目的 purpose

遵照有关法律法规,对ZXIC在认证活动中获得的信息保密, 以保护受审核方或委托人的权益及维护ZXIC的信誉。We assure all information got from assessment process will be kept absolutely confidential, for protecting supplier and application's right and interest and also company's reputation.

2. 适用范围 scope

本规定适用于ZXIC所有人员（含管理委员会委员、以ZXIC名义工作的外部人员）。This document is applicable to all ZXIC staff (contain management committee, work in the name of ZXIC).

3. 职责 responsibilities

ZXIC总部、及办事处负责实施,相关主管人员有责任保证本规定的有效执行。All ZXIC staff should keep this document be carried out smoothly.

4. 规定 Provision

4.1 须保密的信息包括：Following information must be keep confidential.

- 申请人提交的资料及文件；Submitted material and document of application.
- 审核中所获取的有关信息、不合格项报告、审核报告及相关记录；Reference information, non-conformity report, assessment report and reference record.
- 申请人要求进行保密的信息；Application required information.
- 本机构管理体系文件及有关的信息；our company's document and reference information.
- 不是来自于客户（例如投诉者或法规管理者）有关客户之信息Other information not from customer, such as complainer and legal supervisor
- 涉及保密的其他信息。Other information related the confidentiality

4.2 保密安排Arrangement of confidentiality

4.2.1 ZXIC总部及办事处，应妥善保管4.1的文件、资料与记录，并将其放置在专属文件柜内，任何人不得抄录复制，也不得在任何场合以任何方式扩散和传播。ZXIC headquarters and site offices should be properly kept 4.1 documents, materials and records, and place them in the appointed file cabinets, nobody can copy or diffuse and spread in any way on any occasion

4.2.2 非认证活动需要，未经批准，所有人员不得将需保密的信息私自从工作场所带出。

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Without approval, all staff shall not be allowed to carry confidential information out from workplace, except for assessment need.

4.2.3 进行现场审核时，审核组组长应向被审核方申明本机构的保密规定。Assessor leader shall declare company's confidential rules to customer when perform on-site assessment.

4.2.4 审核组所有成员，在现场审核中借用的各类文件和资料，待审核结束必须全数还清，不得留做他用。To all assessors, all materials and documents used in assessment activity shall be returned after on-site assessment, can't be used for other purpose.

4.2.5 审核组所有成员，在现场审核时不得以个人名义向被审核方索取任何文件和资料。to all assessors, can't request any document and material in name of personal.

4.2.6 对认证审核所了解的被审核方管理及技术资料严格保密。keep confidential for all management and technical document of customer.

4.2.7 在体系记录的识别、管理和处理过程中应注意资料的保密性。keep confidential for information when input in ZXIC work system

4.2.8 审核组组长应在末次会议上向被审核方告知该组织的相关证书信息将被放在ZXIC网站上向社会公开，证书信息包括客户（或多场所认证范围内之总部及任何场区的地理位置）之名称、相关的规范性文件、范围及地理位置。所有其他信息，除了客户可以公开之信息以外，都将予以保密。Assessor leader should inform the customer in the last meeting that relevant certificate information will be placed on ZXIC website publicly. Certificate information including customer's company name (or multiple sites are within the scope of assessment by headquarters and any area location) , relevant regulatory documents, scope, and geographic location. All other information will be confidential except assessed company permit to public.

4.2.9 披露保密信息的注意事项: Note for the disclosure of confidential information:

- 当由于工作需要需将机密信息提供给其他认证机构、同行评审方案之协议团体时，应将此项措施通知其客户，并得到客户书面同意。When the confidential information must be provided to other certification bodies, peer group assessment scheme of the agreement, shall notify the activity to the customer, and get the official permission of the customer.
- 当在履行法定责任时需要提供客户之机密信息时除非法律另有规定，否则应将所提供之信息预先通知相关客户或个人。When fulfill the legal responsibility, need provide the

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confidential information of the customer, should notice related customers or person, unless defined in law provision.

4.3 保密承诺confidentiality commitment

4.3.1 ZXIC所有人员均应签署《公正性与保密承诺书》,并对接触的有关信息予以保密。

ZXIC all staff should sign the 《fairness and confidentiality commitment 》, and assure keeping relevant information confidential.

4.3.2 参与审核之相关人员在参加审核前应做出公正性承诺。all relevant participate in the assessment should commit the fairness before perform the assessment.

4.3.3 在认证活动中，为避免兼职的审核员或专家与申请人（或已认证的受审核方）存在利害关系，应事先向申请人提供兼职人员的专业背景资料和所在机构的信息，以征得申请人的同意。否则，兼职人员应回避参与相关认证活动或不能接触有关文件与资料。

During the assessment performance, for avoiding external assessor or expert have interest relationship with the customer, shall notify the customer, and provide external personnel's professional background and the organization's information to the customer. Otherwise, the external personnel can't perform the assessment or avoid contacting relevant documents and materials.

4.4 凡违反本规定而造成后果，由责任人负责。ZXIC总部将根据情节轻重给予其行政处分直至追究法律责任。Whoever in violation of these provisions and cause consequences shall undertake the responsibility. ZXIC headquarters will punish the responsible person and investigate legal responsibility.



中鑫国际认证（江苏）有限公司
Zhongxin International Certification (Jiangsu) Co., Ltd.

公开文件-认证公正性声明
Public Documents- certification impartiality
statement

Prepared By/编制人:

Reviewed By/审核人:

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编号 No.:
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公开文件-认证公正性声明

Public Documents- certification impartiality statement

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	公开文件-认证公正性声明 Public Documents- certification impartiality statement	页码 Page: 3

中鑫国际认证（江苏）有限公司是具有法人资格、独立承担民事责任、为社会各界提供管理体系认证的第三方认证机构。认证的总目标是使所有的相关方相信被认证的组织建立运行的管理体系满足了规定标准的要求。认证的公正性是认证审核价值的根本保证。为保证认证的公正性，中鑫国际认证（江苏）有限公司作出如下声明：Zhongxin International Certification (Jiangsu) Co., Ltd are CB with the legal personality, bear civil liability, third party management system provides verification for the community independent verification mechanism. The overall objective of the validation is to enable all interested parties to believe that the established management system of the established organization meets the requirements of the specified standards. The fairness of verification is the fundamental guarantee of verifying audit value. To ensure the fairness of the verification, Zhongxin International Certification (Jiangsu) Co., Ltd made the following statement:

- 1) 本公司在管理体系认证工作中将严格遵守国家的有关法律、法规和公司的质量政策，在已经获认可的业务范围内开展管理体系的认证活动；The company will strictly abide by the relevant state laws, regulations and the company's quality policy in the management system validation work, in the approved business scope of the management system validation activities
- 2) 本公司对自愿申请认证的任何组织持公正及开放态度，以管理体系的标准、法规等为审核依据，认真履行认证程序；The company is willing to apply for verification of any organization to maintain a fair and open attitude to the management system standards, regulations, such as audit basis, and earnestly perform the verification process
- 3) 本公司独立签署认证合同，不签署咨询认证“一条龙”合同。本公司及其工作人员不从事任何与本公司管理体系认证业务有关的认证咨询活动；The company has signed an independent verification contract, not signed by the consultant to verify the "one-stop" contract. The company and its staff do not engage in any validation activities related to the company's management system validation activities
- 4) 开展管理体系认证工作不以营利为目的，对内不搞认证数量或经济承包。对外不以不正当手段进行市场竞争，认证收费按照相关规定执行；To carry out the verification of the management system is not for the purpose of profit, not to engage in a number of verification or economic contract. Foreign market competition is not improper means to verify the charges in accordance with the relevant provisions of the state

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5) 本公司的认证服务向所有的委托方开放，不附加不正当的财务或其他条件。不以组织的规模或是否是某一协会或社团的成员以及获证组织的数量作为委托和认证的限制条件；
The company's validation services are open to all principal parties without undue financial or other conditions. Not limited by the size of the organization, or whether it is a member of a society or association, and the number of certified organizations

6) 公司确保全体专/兼职人员、分公司秉公办事，不以权谋私，不弄虚作假，不得为个人、集体或其他方利益优先或拖延影响受理工作。保守客户的秘密，维护客户正当利益。The company to ensure that all college / part-time staff, the branch is not impartial, not resort to deceit, abuse of power, not to individual, collective or other party interests or delay influence acceptance work. Keep the secrets of customers and maintain the legitimate interests of customers.



中鑫国际认证（江苏）有限公司
Zhongxin International Certification (Jiangsu) Co., Ltd.

公开文件-管理体系认证审核时间
Public Documents-Management System
Certification Audit Time

Prepared By/编制人:

Reviewed By/审核人:

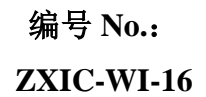
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	公开文件-管理体系认证审核时间 Public Documents-Management System Certification Audit Time	页码 Page: 3

1. 目的 purpose

为向外界明确本公司审核时间安排规定特制订本文件。This document specifies the assessment time and schedule.

2. 适用范围 scope

适用于拟向我机构管理体系认证的各认证申请组织。This document is applicable to the application which has applied for management system assessment.

3. 引用文件 reference document

3.1 IAF MD 5 《质量和环境管理体系审核时间的确定》 Determination of Audit Time of Quality and Environmental Management Systems

3.2 IAF MD 22 《ISO / IEC 17021-1 在职业健康与安全管理体系（OH&SMS）认证中的应用》 Application of ISO/IEC 17021-1 for the Certification of Occupational Health and Safety Management Systems (OH&SMS)

4. 管理体系审核人日标准 The basis for management system assessment assessor

4.1 QMS 质量管理体系有效人数与审核时间之关系(限初次审核) The basis for quality management system valid assessor and assess time(for initial assessment)

有效人数 Valid person number of application.	第一阶段+第二阶段审核时间 (天) Stage 1+Stage 2 assessment time (day)	有效人数 Valid person number of application.	第一阶段+第二阶段审核时间 (天) Stage 1+Stage 2 assessment time (day)
1- 5	1.5	626-875	12
6 - 10	2	876-1175	13
11 - 15	2.5	1176-1550	14
16 - 25	3	1551-2025	15
26 - 45	4	2026-2675	16
46 - 65	5	2676-3450	17
66 - 85	6	3451-4350	18
86 - 125	7	4351-5450	19
126 - 175	8	5451-6800	20
176 - 275	9	6801-8500	21
276 - 425	10	8501-10700	22
426 - 625	11	>10700	依照上述级数 According to front level

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注 1: 上表中之有效人数须视为连续统计数字而非阶段性改变。Remark1: Valid auditor number of this table shall be regarded as a continuum of statistics rather than periodic change.

注 2 初次审核第一阶段与第二阶段审核人天分配原则为 20% 与 80%。Remark2: the assessor number and time for the first and second assessment in initial assessment shall be 20% and 80%.

注 3: 监督审核人天为初次审核人天的 1/3;再认证人天为初次审核人天的 2/3。Remark3: the assessor number and time for track assessment shall be 1/3 of initial assessment. the assessor number and time for re-assessment shall be 2/3 of initial assessment.

4.2 EMS 环境管理体系与 OHSMS 职业健康安全管理体系有效人数与审核时间之关系(限初次审核) The basis for EMS and OHSMS valid assessor and assess time(for initial assessment)

有效人数 Valid person number of application	第一阶段+第二阶段审核时间 (天) Stage 1+Stage 2 assessment time(day)			有效人数 Valid person number of applicatio.	第一阶段+第二阶段审核时间 (天) Stage 1+Stage 2 assessment time(day)		
	高风险	中风险	低风险		高风险	中风险	低风险
1-5	3	2.5	2.5	626-875	17	13	10
6-10	3.5	3	3	876-1175	19	15	11
11-15	4.5	3.5	3	1176-1550	20	16	12
16-25	5.5	4.5	3.5	1551-2025	21	17	12
26-45	7	5.5	4	2026-2675	23	18	13
46-65	8	6	4.5	2676-3450	25	19	14
66-85	9	7	5	3451-4350	27	20	15
86-125	11	8	5.5	4351-5450	28	21	16
126-175	12	9	6	5451-6800	30	23	17
176-275	13	10	7	6801-8500	32	25	19
276-425	15	11	8	8501-10700	34	27	20
426-625	16	12	9	>10700	依照上述级数 According to front level		

注 1: 上表有效人数须视为连续统计数字而非阶段性改变。Remark1: Valid auditor number of this table shall be regarded as a continuum of statistics rather than periodic change.

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注 2: 初次审核第一阶段与第二阶段审核人天分配原则为20%与80%。 Remark2: the assessor number and time for the first and second assessment in initial assessment shall be 20% and 80%.

注 3: 监督审核人天为初次审核人天的 1/3;再认证人天为初次审核人天的 2/3。 Remark3: the assessor number and time for track assessment shall be 1/3 of initial assessment. the assessor number and time for re-assessment shall be 2/3 of initial assessment.



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公开文件-管理体系认证收费标准
management system charge standard

Prepared By/编制人:

Reviewed By/审核人:

Approved By/批准人:

Issue Date: 05/12/2019

发布日期: 2019 年 12 月 5 日

Implementation Date: 06/12/2019

实施日期: 2019 年 12 月 6 日

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制定修订 Formulate or modify			修订内容摘要 Revision Summary	制定 Formulated	审核 Checked	核准 Approved
修订日期 Date	版 Versions	次 No.				
May 18, 2018	A	0	Initial published			
Dec.6, 2019	A	1	Added English translation			
管制文件禁止私自影印 Cont rol documents are prohibited from photocopying						

	中鑫国际认证（江苏）有限公司 Zhongxin International Certification (Jiangsu) Co., Ltd.	编号 No.: ZXIC-WI-17
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1. 目的 purpose

为向外界明确本公司的收费说明特制订本文件。This document specifies the assessment fee and schedule.

2. 适用范围. Scope

适用于拟向中鑫国际认证（江苏）有限公司管理体系认证的各认证申请组织。
Suitable to Zhongxin International Certification (Jiangsu) Co., Ltd. the certification management system certification application.

3. 审核收费明细与依据 Assessment fee and criteria

下述单一体系认证总费用由申请费、审核费、注册费、年度管理费构成，将在《认证合约书》中明细其具体分配构成。Following single management system assessment fee consists application fee, assessment fee, registration fee and annual surveillance fee.

4. 审核收费原则 （业务部门可视实际情况进行费用调整） Assessment fee principle(business department can adjust according to the situation)

4.1 收费原则（单位：人民币） Charge principle (Unit: RMB)

申请费：1000 人民币/(初次审核时及再认证时收取)

Application fee:1000 RMB /charge when initial assessment or re-assessment per three years

审核费：2500 人民币/每人天

Assessment fee: 2000RMB/per person per day

注册费：2000 人民币/(初次审核时及再认证时收取)

Registration fee: 1000 RMB(charge when initial assessment or re-assessment per three years

年度管理费：2000 元人民币/每年监督时收取

Annual surveillance fee: 2000 RMB /charge when surveillance assessment

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差旅费（含食宿）：审核所发生的差旅费按实际支出，由申请认证的客户承担。

Travel expenses (including board and lodging): The travel expenses incurred in auditing shall be borne by the client applying for certification according to the actual expenses

子证书注册费 1000 元/套。Sub-certificate registration fee 1000 yuan/set

如需加印证书副本，每体系(中、英文)加印费为 300/套，如证书丢失或损坏无法使用需补发证书，每体系收费 300 元/套。

If a copy of the certificate is required, the reprint fee for each system (in Chinese and English) is 300/ set, If the certificate is lost or damaged and cannot be used, a replacement certificate shall be issued, Each system charges 300 yuan/set

ZXIC 在收到全部申请费、审定与注册费、审核费、年金、差旅费用后颁发认证证书或确定证书保持有效。ZXIC issues the certification certificate or confirms that the certificate remains valid upon receipt of all application fees, examination and registration fees, audit fees, annuities, and travel expenses

4.2 实际价格可由业务人员依申请组织实际情况进行适当调整，当组织申请人数超过 1175 人后则需依据 4.1 规定的审核费增加相应的费用。Business person can according to real situation adjust the price. If application organization number of person is excess 1175, must add fees according to 4.1

4.3 认证收费声明： Statement for assessment fee

4.3.1 ZXIC 认证收费主要用于与认证有关的人员经费，房屋、设备等固定资产的购买、折旧和维护费用，及公司发展基金等。The assessment fee of ZXIC is mainly used for personal expenditure, building and facility purchase, depreciation and maintain, and company development fund.

4.3.2 上述收费是本公司的财务来源，无正当理由，不应全部或部分免收上述费用（公益性认证及副总以上人员批准除外，但需要留下相应纪录），本公司也拒收任何馈赠或赞助，否则将严重损害认证公正性，违反认可要求。Above fee is our company' s financial provision, without warrant, should not charge free or partly (except

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nonprofit application or approved by deputy GM or GM, also need keep refer record), our company refuse any present or sponsorship, this will damage the fairness, in violation of assessment regulations



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公开文件-认证证书及认证标志使用规则
Public Document-certification certificate and
certification mark usage rules

Prepared By/编制人:

Reviewed By/审核人:

Approved By/批准人:

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1. 中鑫国际和获证组织的权利和义务 The right and obligation of ZXIC and certified client

1.1 获证组织的权利和义务 The right and obligation of certified client

a) 获证组织的权利 The right of certified client

——获证组织可按本文件有关规定，使用中鑫国际颁发的认证证书和标识，宣传其认证资格；The certified client has the right to use the certificate and logo that awarded by ZXIC to propaganda their certified qualification.

——获证组织可要求获取最新版本的《认证证书及认证标志使用规则》文件；The certified client has the right to achieve the newest version document 《certification certificate and certification mark usage rules》

——对中鑫国际发出的误用证书和标识的更改通知，可发表意见，以保护自身利益。The certified client has the right to give suggestion to ZXIC for the notice of misusing certificate and logo, to protect their own interest via

b) 获证组织的义务 The obligation of the certified client

——始终遵守认证规范和本文件的有关规定。Always abide by certification provision and relevant rules of this document.

——正确的使用认证证书和认证/认可标识。Proper use of certificates and certification / recognition marks.

——获证组织应及时向中鑫国际报告其对管理体系拟实施的更改或其他可能影响其符合性的更改，如管理手册的更改、组织机构的调整、中心地址的变更等，以便认证机构能掌握最新的变更信息，未能提供这些变更信息的将被视为对认证证书的误用，并按本规则采取相应措施。For ZXIC can get the newest change information ,the certified client should report to ZXIC in time if they want to conduct any change in management system or other changes may impact conformity, such as any change for manual, for o-chart, for main address. If the certified client didn't submit those change information, will be regarded as misusing the certificate. ZXIC will take relevant action according to this document.

——获证组织应及时向中鑫国际报告重大的顾客投诉、重大的产品质量事故、安全事故和/或环境污染事故。获证组织应建立处理顾客和相关方投诉的程序并保留其处理记录。The

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certified client should report to ZXIC for any serious customer complain, any serious product quality accident, security accident and environmental pollute accident. The certified client should establish procedure for handle the complain from customer and interested party and preserve all handle records.

——及时缴纳认证有关费用。The certified client should pay certification relevant fee timely.

1.2 中鑫国际的权利和义务 The right and obligation of ZXIC

a) 中鑫国际的权利 The right of ZXIC

——对认证证书和认证/认可标识拥有所有权；Ownership of certificates and certification / recognition marks

——制定管理体系认证证书和认证标志的使用规则；Has the right to set up the certification certificate and certification mark usage rules

——通过定期的监督审核和必要的不定期抽查（如：获证组织出现重大的顾客投诉、重大的产品质量事故、安全事故和/或环境污染事故等），持续认可单位对法律法规的符合性；Has the right to monitor the conformity of certified client abiding by laws and rules via regular surveillance and necessary random inspection.(e.g. The certified client occur serious customer complain, serious product quality accident, security accident or environmental pollute accident)

——对误用或错用认证证书和认证/认可标识有权采取必要的措施予以纠正，直至撤销认证和采取其他法律手段。Has the right to take action for misuse certificate and logo to correct, till terminate the certification and take other law tools.

b) 中鑫国际的义务 The obligation of ZXIC

——对所颁发的认证证书在认证范围内的管理体系对特定标准或其他引用文件的符合性负责；ZXIC should be responsible for the conformity of the specific standard or other quoted standard that within the certification scope.

——按规定公开发布获证组织名录，包括获证客户名称、相关的规范性文件、认证范围、地理位置或多场所认证的范围内的总部和任何场所的地理位置、证书状态、获证日期、证书编号等；Publish the certified client list, including certified client name, relevant normative document, certificate scope, geographical location or multiple location, certificate status, certified date, certificate No. etc.

——告知获证组织认证证书和认可标识可使用的范围、地点，声明认证证书只能用来证明

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获证组织在认证范围内的管理体系符合了特定的标准或其他引用文件； Inform the certified client that the certificate can be used scope, location, and make statement that the certificate just can be declared that the management system of the certified client is conform to specific standard or other normative document.

——通过对获证组织的监督和再认证来认证认证范围内的管理体系对特定标准或其他引用文件的符合性，从而确认认证证书的持续有效性； Confirm the continuous valid of the certificate via surveillance audit to verify the conformity of the specific standard or other normative document within certification scope.

——当认证要求发生变更时，及时向获证组织发出正式的通知，并充分考虑各利益方意见，商定具体行动，从而确认认证证书的持续有效性。 If any change for certification, should send official notice to certified client, and consider the suggestion of all interested parties, discuss detail action, to confirm the continuous valid of the certificate.

2. 认证证书和标识管理 **management of certificate and logo**

2.1 认证证书的信息及管理要求 **Information and management requirement for certificate.**

2.1.1中鑫国际的认证证书是由中鑫国际认证（江苏）有限公司颁发给受审核方，证明其管理体系符合相应认证标准要求的证明文件，分中文英文两种版本。

The certificate of ZXIC (Jiangsu) Co., Ltd. is granted to certified organization, to prove the management system of certified organization meet the requirement of standard. The certificate has two version, Chinese version and English version.

2.1.2 管理体系认证证书的内容 **The content of the management system certificate**

- a)证书名称（管理体系认证证书）； The name of the certificate(management system certificate)；
- b)获准认可单位的名称、地址； The name and address of the certified organization；
- c)授与、扩大或更新认证日期和（或）换发证书的日期； The granting, expanding or updating or renew certificate date；
- d)认证有效期或与认证周期一致的应进行再认证的日期； The validity period for the certification or the recertification date；
- e)认证注册号； The registration number of the certification；
- f)依据的管理体系标准和 / 或其他引用文件的编号与版次； The number and version of

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management system standard/other normative reference ;

g)管理体系认证所覆盖的范围； The scope covered by the management system certification;

h)认证公司名称、地址及联系电话、网站； The name,address,telephone number and website of the certification body;

i)认证标准和（或）其他规范性文件所要求的任何其他信息； All other information required by the certification standard or other normative reference;

j)认证公司总经理的签字； The signature of the GM of certified body;

k)认证标志、认可标识。 The logo of certification body and the symbols of accreditation body.

2.1.3 认证证书的签发 Issue certificate

a)认证决定人员作出认证决定后，经总经理签发认证证书，给予认证注册。 after the decision maker make certification decision, GM shall issue certificate and register the certification.

b)通常对同一个组织实施同一个管理体系认证，只赋予一个注册号，发放一张证书，若获证组织有两个名称，可在证书上注明，但不能赋予两个注册号，颁发两张证书。 General speaking, our company will grant one registration number, just grant one certificate if the certified organization just implement one single management system. If the certified organization has multiple name, will remark on the certificate, rather than grant two registration number and grant two certificate.

c)对于多场所认证，根据需要，可颁发同一注册号的子证书或证书附件，并在证书附件上描述管理体系所覆盖的全部场所的名称、地址和认证范围；如颁发子证书，应表明与主证书的关系。 If multiple site certification, could grant sub certificate or attachment with a same registration number. Should describe all site name, address and certification scope, if need grant sub certificate, should mark clearly the relationship with the main certificate.

d)证书一般同时使用中文和英文打印，需要时也可发出与中文内容一致的其他文种的证书。 Our company will grant you Chinese and English version certificate, if other language needed, we will grant you the other language certificate with the same content.

e)认证证书生效日不得在认证决定日期之前。 The effect date of the certificate shouldn't be prior to the certification decision date

2.1.4 认证证书的更换 Change for the certificate

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在认证证书有效期内，发生下列情况之一，获证组织可向公司提出换证申请：Within the validity period, if follow status occur, certificated organization could apply for change certificate:

- a)证书持有者变更；the owner of the certificate changed;
- b)扩大或缩小认证范围；Expanding or reducing certification scope;
- c)组织所在地变更；The address of the certified organization changed;
- d) 认证依据的标准改变或换版。The certification standard changed or new version updated.

上述变更情况的更换证书，宜在正常的监督审核前提出，在正常的监督审核中同步确认变更。认证证书有效期满，经再认证审核，确认保持注册资格，书面通知给予换发证书。换发的证书应重新赋予注册号。Above status need change the certificate, the certified organization should apply before the surveillance audit, will confirm the change with the surveillance audit. When the certificate is out of date, after recertification, confirm the qualification, written notice the new certificate. The new certificate should be granted a new registration number.

2.1.5 补发认证证书 Certificate supplement

当获证组织认证证书遗失或损毁时，应向公司提出书面申请，说明理由，经公司总经理核定后补发认证证书。When the certified organization lost or damaged their certificate. They should submit the written application to the company and explain the reasons; we can supplement a certificate after got approval from our general manager.

2.1.6 认证暂停、撤销的通报 Notice certificate terminate use or temporary terminate use

认证证书的暂停及撤销、对到期未申请再认证以及其他变更信息由管理部在公司网站上公布。Our management department shall make written notice on our website if the certificate of the certified organization need to be terminate using or temporary terminate using.

2.1.7 获证组织使用认证证书的要求 Requirement for the use of the certificate

- a)管理体系认证证书只能由获证组织在证书有效期内和获准认证范围内使用，不准以任何方式转让、出售或借用、冒用。Management system certificate should be used within validity date and approved scope, can't transfer, sell, borrow or falsely use in any way.
- b) 获得公司认证的组织可以在其公开出版物、宣传品、网页等载体上展示认证证书，但应保证其清晰可辨。Certified organization could show their certificate in its publications,

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advertising materials, website, but ensure that is clear.

c) 认证证书有效期为三年，在有效期内，经公司监督审核已确认保持注册资格后，获证组织方可继续使用管理体系认证证书。The validity period of the certificate is three year. After our company complete the surveillance audit within the validity period, confirm the qualification, certified organization shall continuously use the certificate.

d) 因不符合认证要求，被暂停及撤销认证资格时，应停止使用认证证书和标识。撤销认证资格时将认证证书交回公司。Due to can't meet the certification requirement, the certificate shall be terminate use or temporarily terminate use, the organization should terminate using the certificate and logo timely, and return the certificate to our company.

2.2 认证标志、认可标识的信息和管理 management for the ZXIC logo, accreditation Symbols

2.2.1 中鑫国际标识 ZXIC certificate logo



2.2.1.1 认证标志是为了表明获证组织的某一管理体系，根据中鑫国际认证程序实施认证后，符合适用的管理体系标准和相关技术规范要求的特有标识。认证标志适用于认证证书和获证组织在认证的范围内宣传和使用。The requirement and scope for our company logo using. The certification logo is to indicate that the management system of certified organization meet the management system standard requirement and relevant technical requirement.

2.2.2 认可标识 accreditation Symbols

2.2.2.1 认可标识为中鑫国际通过认可单位之认证所获取具有认可编号的标识。中鑫国际使用认可标识之证书、宣传品、广告等，遵循CNAS-R01《认可标识使用和认可状态声明规则》及IAS「ACCREDITATION LOGO&SYMBOLS」等相关规定，并予管制及记录，认可单位(如CNAS、IAS)得以随时查核。The Accreditation Mark is obtained by the accreditation of the certification organization by the accreditation standard. The ZXIC uses certificates, publicity products, advertisements and so on, Follow the CNAS-R01《The rules of state declaration for the use and approval of accreditation signs》and IAS「ACCREDITATION LOGO&SYMBOLS」，

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Control and record, Accreditation units (such as CNAS, IAS) can be checked at any time.

2.2.3 获证组织认可标识、认可标识使用规则 The requirement for certified organization to use our ZXIC logo, accreditation Symbols.

a) 中鑫国际获得的认可标识、互认标识必须与中鑫国际认可标识合并使用，不可单独使用，标识大小以相同尺寸为原则；Accreditation logo and mutual recognition logo must be used combine with ZXIC certification logo, they can't be separately used, and is the same size.



b) **认证标志**和认可标识必须印在清晰的背景下，包括所有的边界线使用鲜明的色彩印刷；the verification logo and certification logo must be printed with clear background, including all border lines should be printed with strong colours.

c) 互认标识、中鑫国际获得的认可标识和中鑫国际认可标识只允许使用与中鑫国际所提供色调一致的彩色认证、认可标识或黑白互认、认证、认可标识（根据认可单位需要中鑫国际提供其标识的电子版）。使用该标识时，可根据中鑫国际提供的图样按比例放大或缩小，任何尺寸的标识都必须清晰可辨，不得变形或裁切使用，标识下方之认证注册号必须清晰可识别；the mutual recognition logo, the ZXIC obtained certification logo and ZXIC verification logo should be only used as same colour as ZXIC colour certification/verification logo or black and white colour mutual recognition logo, certification logo, verification logo.(it should be decided by customer request). When use those logos, can magnify or shrink based on the same scale as ZXIC supplied, all size logos should be clear to recognize, any deform using is not allowed. Shall not be deformed or cut to use, the logo below the registration number must be clearly identified

d) IAF MLA 标识中的字体应清晰可辨，且 IAF MLA 标识的大小不应小于 20mm 宽度；all letters in "IAT MLA" logo should be clear to recognize, and the size of "IAF MLA" logo should not be smaller than 20mm width

e) 获证组织于宣传或广告使用「认可」、「认证」时，不可混淆。例如: A certified organization can not be confused when advertising or advertising uses "accreditation" or "certification". E.g:

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1)本厂通过 XXXXX 认可的中鑫国际认证（江苏）有限公司 ISO XXXXX 认证。The factory through XXXX of ZXIC (Jiangsu) Co., Ltd ISO XXXXX certification.

2)本厂通过 ISO XXXXX 认证机构:中鑫国际认证（江苏）有限公司。The factory through the ISO XXXXX certification. Certification agencies: ZXIC (Jiangsu) Co., Ltd

f)认可标识可以用在有关文件、文具、邮政信件和出版物上，但不得用在产品上或以任何方式作为产品合格的说明。如要在产品外包装上使用认可标识时，应同时附有明确的声明：如上述 f 项说明等字样以避免误导该产品通过认证。the certification logo can be use in the relevant document, stationery, postal mail and publications, but can't use on the product or as a evidence for product conformance.If you want to use the verification mark on the product packaging, you should also include a clear statement such as the above description of f to avoid misleading the product through certification

g)中鑫国际不允许认可标识被使用于实验室测试、校正或检查之报告。ZXIC don't allow our certification logo to be used as test report of lab, calibration report and inspection report.

具体应遵循下列要求：Should follow below detail requirements:

		在 产 品 上 On the product	在用于运输产品的大 箱子等的上面 On the out-package the product	在做广告的小册子上等 Any other propaganda publication
标 识 的 使用 The use of the logo	不 带 声 明 Without statement	不允许 Don't allow	不允许 Don't allow	允许 allow
	带 声 明 With statemen	不允许 Don't allow	允许 allow	允许 allow

2.2.4 中鑫国际对在产品包装上或附带信息中声明获证客户的管理体系通过认证有管理规则。产品包装的判别标准是其可从产品上移除且不会导致产品分解、碎裂或损坏。附带信息的判别标准是其可分开获得或易于分离。型号标签或名牌被视为产品的一部分。声明决不应暗示产品、过程或服务以这种方式得到了认证。声明应包含对下列的引用：The rules for the statement which certified organization maybe use on product out-package or in attachment.

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The judgment standard for the out-package is can be removed and can't cause the discomposed or broken or damaged for the product. The judgment standard for the attachment information should be easy to obtain and easy to separate. Brand and model mark is regarded as a part of the product. The statement should not hint the product, process and service is verified as conformance. The statement should include below cite:

- 获证客户的标识（例如品牌或名称）；the mark of the certified organization(such as brand or name)
- 管理体系的类型（例如质量、环境）和适用标准；which management system(such as quality, environment) and applicable standard;
- 颁发证书的认证机构。which certified body granted the certificate

说明 illustration:

1. 本身是一个有形产品或在单个包装箱、容器等的产品（具有独立包装的产品）。itself is a tangible product or in a single package, container and other products (independent packaging products).
2. 薄纸板或其他材料等做成的外包装（大包装），它到不了最终用户手中。 the package is made by thin cardboard or other materials, it will not arrive the end user.
3. 指对其适用性有基本描述的具体形式的标识。在这个意义上，仅用一个词语声明不构成标识。 refers to its applicability, has a basic description of the specific form of mark.In this sense, with only one word statement does not form a mark.
4. 是一个清楚的声明：“（该产品）是在一个质量管理体系通过 ISO9001 认证的工厂中制造的”。it is a clear statement:” This product is produced in a ISO9001 certified manufacturer”.
5. 当允许使用认可标识时，要注意宣传认证结果时必须遵循本程序要求，不应损害认证机构的声誉，不做使认证机构认为误导或未授权的声明。

When allow use the certificate logo, the certified organization shouldn't harm the reputation of the certification body when propaganda the certification result. Shouldn't miss lead or declare which didn't be authorized by certification body.

2.4 对获证组织使用各类认证证书和标识的监督检查surveillance audit to certified organization on the use of certificates and marks

2.4.1 获证组织应始终按规定使用认证证书和标识，并进行有效的控制；certified

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organization use the certificates and marks appropriately and control

2.4.2 中鑫国际将按双方签订的认证服务协定在监督和再认证审核时，对获证组织使用各类认证证书和标识的实施情况进行现场检查; In the case of the certification service agreement signed by the two parties, the company will conduct on-site inspections on the implementation of various certification certificates and marks used by the certification organization.

2.5 获证组织不当或错误使用**认证标志**、认可标识的处理措施。Treatment measures for improper or incorrect use the company marks, certification mark, and accreditation logo

2.5.1 要求获证组织不得进行被公司认为是误导顾客的错误宣传，一经发现不正确的宣传和误导使用认证证明和标识，公司将采取下列追踪措施直至撤销认证资格，包括采取法律手段：Request the certified organization don't mislead or false propaganda to their customer. Our company will take follow measures, to handle the case once we find the mislead or false use certification mark, include legal means,

a) 开出不合格报告，要求获证组织采取纠正措施限期纠正，公司予以现场认证。issue NCR, request the certified organization take action to correct within required period, our company shall confirm it on-site

b) 获证组织不能按期完成纠正，公司视其为侵权行为，暂停其认证资格，并要求获证组织作出消除影响的承诺和保证。if the certified organization can't correct within required period, our company will regard this behavior as a tort, we will terminate their certification qualification, and request the certified organization give a written commitment and warranty for the eliminate the influence.

c) 当问题严重时，公司将撤销其认证资格，并采取适当的法律手段。When serious problems occur, our company will terminate its qualification of certification, and take appropriate legal action.

d) 获证组织使用认可标识前，应将使用方案提交公司管理部备案。并应接受公司审核组对认证证书和认可标识使用的符合性的现场检查。存在不合格时，按要求予以纠正。Certified organizations use certification mark, use plan shall be submitted to the company management department for the record. And shall accept the company on-site confirms the conformity. If non-conformity occurs, should conduct corrective action.

2.5.2 认证证书和标识暂停使用和恢复。Suspending or restore use for the certificate and its

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mark.

a)当获证组织被公司暂停及撤销认证注册资格时，书面通知其暂停其证书和标识的使用。

If the certified organization has been terminated their registration qualification .Our company will send written notice to the certified organization to terminate use or temporary terminate use the certificate and its mark.

b)当获证组织被公司获准恢复其认证资格时，由管理部书面通知其可以恢复使用认证证书和标识。If we restore the qualification of the certified organization, our management department will send written notice to the certified organization to re-use their certificate and its mark.

2.5.3 当获证组织的认证资格被暂停及撤销后，应立即停止使用认证证书和认可标识和认可标识。When the certification qualification of the certified organization has been terminated or temporarily terminated by our company, the certified organization should terminate using their certificate and logo and mark.

2.5.4 当任何团体（或个人）提出请求时，本认证机构将由管理部提供确认已授与认证之有效性的方法。When any party or personnel require,our management department will confirm the effective of the certification.



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Zhongxin International Certification (Jiangsu) Co., Ltd

申诉和投诉处理程序
Appeals and complaints procedure

Prepared By/编制人：

Reviewed By/审核人：

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Change list 更改记录

制定修订 Formulate or modify			修订内容摘要 Revision Summary
修订日期 Date	版 Versions	次 No.	
May 18, 2018	A	0	Initial published
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1. 目的 purpose

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本程序规定了对本机构提供的认证服务不满意的客户申诉、投诉的管理方法和要求。

This procedure is developed to ensure that ZXIC management system can continually, suitably and effectively meet policy and objective and specified requirements.

2. 适用范围 scope

本程序适用于所有个人或组织对与本机构的申诉、投诉处理。

This procedure is applicable to handling of appeals/complaints related to ZXIC

3. 职责 responsibilities

3.1 管理部负责公司申诉和投诉过程的处理工作；

3.2 审核部负责配合管理部对申诉和投诉过程的处理；

4. 程序 procedure

4.1 处理原则 disposition principle

ZXIC 以严谨、公正、非歧视的方式受理、调查和处理来自相关方的申诉、投诉，并对处理过程中的所有决定负责，同时确保参与调查、处理的人员，未参与申诉、投诉的相关活动。ZXIC accepts、investigate and dispose appeals、complaints of interested party with preciseness, impartiality and non-discriminatory manner, and is responsible for all the decisions of the process, and ensure the participation of the investigation and handling staff, and participate in the activities related to complaints, complaints.

4.1.1 接到投诉、申诉的本机构任何部门或员工应坦诚地与投诉人交谈，将问题记录在《申诉和投诉信息处理表》并提交给管理部。管理部应将本文件规定放置于公司网络上，让有需求之人员或组织可公开获取。Any department or employee that receives a appeals, complaints or disputes shall be honestly talk with the complainant, and shall record the issue in the 《appeals、complaints disposition form》, and submit it

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to the management department. The management department shall upload the document in the company's public network, to make it available to the related person or organization.

4.1.2 本机构对申诉处理过程所有阶段的所有决定负责。为体现公正性，申诉和投诉涉及的相关人员和原认证决定人员应该在处理阶段予以回避。The company is responsible for all decisions of all the complaint handling process. In order to reflect the fairness, the relevant personnel and the original certification decision personnel should be avoided in the processing stage of appeals and complaints

4.1.3 申诉的定义为：definition for appeals

指申请方、受审核方或获证组织针对其期望的认证状态有关的不利决定所提出的书面请求。The applicant、auditee or certified client propose the written request about the certification decision which is disadvantage to their expectation

4.1.4 投诉的定义为：definition for complaints

对 ZXIC 及其工作人员和获证客户与认证有关的行为表明不满的书面表示。Any written dissatisfaction to the behavior of ZXIC, or its staffs or certified organization.

4.2 申诉的处理 disposition for appeals

4.2.1 由申请方、受审核方或获证组织提出的申诉，填写《申诉和投诉信息处理表》将传递到审核部处理，在受理、确认与调查申诉过程中应考虑先前类似申诉的结果，然后由管理部决定实行何种措施予以回应。当通知给申诉者之申诉决定时，应由先前未参与申诉主题的人员予以处理，或审查与核准。The applicant、auditee or certified client propose the appeals by filling in 《Appeals、complaints handling list》 which will be transmitted to audit department, audit department will should be consider previous similar complaints during the acceptance, confirmation and investigation of appeals, and then the management department take measures to respond. When the appeals decision is noticed to the appeals person, it shall be handled by the person who has not previously participated in the subject of the appeals in advance.

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4.2.2 管理部应告知申诉者申诉处理的进度报告与结果。申诉结果以书面通知方式告知申诉人。如果申诉人对申诉处理结果有异议(认为认证机构未遵守认证相关法律法规或本规则并导致自身合法权益受到严重侵害的),可以直接向其认证机构或所在地认证监管部门或国家认监委提出。Management department should inform the appeals person the handling results in a written notice. If the appeals person has any objection to the handling results(eg: if he think certification body did not comply with the relevant certification rules、 laws and regulations, and caused serious violations to the legitimate rights and interests of their own), he can directly turn to the local certification regulatory authorities or CNCA for appeals).

4.2.3 处理申诉的时限为接到申诉者正式的书面投诉资料期60天内,包括书面答覆申诉人。The time limit for the processing of the appeals is within 60 days from the date of receiving the formal written appeals, including a written reply to the appeals person

4.2.4 在处理过程中应追踪与记录申诉,包括解决申诉所实行的措施并确保实行任何适当的纠正及纠正措施。the appeals is tracked and recorded in the dealing process, including the measures to resolve the appeals and to ensure the implementation of any appropriate corrective and corrective actions

4.2.5 申诉的提出、调查及决定,不应对待申诉者造成任何差别对待。The proposal, investigation and decision of the appeal shall not cause any differential treatment to the appeals person

4.3 投诉的处理 disposition for complaints

4.3.1 任何组织或个人对 ZXIC 及其工作人员和获证客户与认证有关的行为表明不满提出的投诉,填写《申诉和投诉信息处理表》。由管理部确认投诉是否与认证活动有关,经确认有关时予以转交审核部处理。如果投诉与获证客户有关,在调查时应考虑其管理体系的有效性,必要时暂停其认证资格,并在适当时间内对获证客户予以询问。审核部收到处理表后应负责搜集及查证所有必要的信息,以确认投诉。并由管理部通知投诉者受理投诉,并提供投诉者投诉处理的进度报告与结果。Any organization or individual propose

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his complaints due to unsatisfaction to ZXIC and its certified clients about certification related behavior, by filling in 《Appeals、complaints handling list》. The management department confirm the whether the complaints is related certification activities, if yes, the complaint will be referred to the audit department. If the complaint is related to certified clients, the effectiveness of the management system should be taken into account in the investigation, if necessary, suspend its certification qualification, and inquire certified customer in the appropriate time. The audit department shall be responsible for the collection and verification of all necessary information to confirm the complaint after the receipt of the processing form. The management department will inform the complainant the progress report and the result of the complaint handling process

4.3.2 如果申诉人对投诉处理结果有异议(认为认证机构未遵守认证相关法律法规或本规则并导致自身合法权益受到严重侵害的,可以直接向其认证机构或所在地认证监管部门或国家认监委提出)。 If the complainant disagrees with the results of the complaints handling(he thinks the certification body did not comply with relevant laws and regulations and this caused serious violations of the legitimate rights and interests of their own, he can directly turn to the local certification regulatory authorities or CNCA to complaints).

4.3.3 受理投诉时限为接到申诉者正式的书面投诉资料期 60 天内, 包括书面答复申诉人。管理部应将投诉处理过程的结果, 正式通知投诉者。并应与客户及投诉者共同决定, 是否将投诉主题及其决议予以公开, 以及公开之程度。The time limit for handling complaints is within 60 days from the receipt date of the formal written complaint by the complainant, including a written reply to the complainant. The management department shall formally notify the complainant the result of the complaint handling process. And discuss with the client and the complainant whether make public the complaint subject and its resolutions, as well as the extent of the

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public

4.3.4 获证客户应按照本机构的要求，随时提供对相应投诉所采取措施的记录。The certified clients shall provide the records of the corrective actions taken at any time in accordance with the requirements of certification body

4.4 分析和评估 analysis and evaluation

4.4.1 总部和各办事处将每年 12 月份整理该年度的所产生处理的所有申诉、投诉的处理表，制作成《申诉和投诉处理全年情况统计表》提交管理部。In every December, the headquarters and the offices collect all the appeals, complaints occurred in this year, formulated 《Appeals、complaints annual statistics form》，and submit to the management department

4.4.2 管理部应在每年管理评审会议中提交统计表汇报。以评估本机构对申诉、投诉处理的有效性。The management department shall submit the statistical report to the annual management review meeting. To evaluate the effectiveness of the handling of appeals, complaints

4.4.3 所有的申诉、投诉不因对方为个人或组织而造成任何差别待遇，如不接受投诉方投诉的提出、以及调查决定结果未依证据而偏袒其中一方等。All the Appeals and complaints are regarded and disposed in impartial way, any differential treatment is not allowed.

5. 引用文件 reference document

5.1 《管理体系认证机构要求》（ISO/IEC 17021-1:2015）Requirements for bodies providing audit and certification of management systems

6. 使用表单 relevant forms (records)

6.1 《申诉和投诉信息处理表》 Appeals、complaints handling list

6.2 《申诉和投诉处理全年情况统计表》 Appeals、complaints annual statistics form