授予、保持、扩大、缩小、更新、暂停和撤销认证的管理程序

Procedures for Management of Granting, Maintaining, Extending, Reducing, Renewing, Suspending and Withdrawing Certification

1 目的 Purpose

为确保对获证组织的资格有效管理特制定本程序。

Establish the procedure to ensure the effective management for the qualifications of certified organizations.

2 范围 Scope

本文件对获证客户的授予、保持、扩大、缩小、更新、暂停和撤销认证的管理过程做出规定，适用于公司发出的认证证书。

This document stipulates the management procedures of the certified client for granting, maintaining, expanding, reducing, updating, suspending, and withdrawing certifications. It applies to certificates issued by POSI.

3 管理职责 Responsibilities

a) 总经理或其授权人员负责批准授予、保持、扩大、缩小、更新、暂停和撤销认证范围的决定。此决定不得外包。

The general manager or authorized personnel is responsible for approve of granting, maintaining, expanding, reducing, updating, suspending, and withdrawing the scope of the certification. This decision cannot be outsourced.

b) 认证部负责对获证客户的授予、保持、扩大、缩小、更新、暂停和撤销认证范围作出决定。

The certification department is responsible for making decisions on the granting, maintaining, expanding, reducing, updating, suspending, and withdrawing the scope of the certification.

c) 销售部负责对获证客户的授予、保持、扩大、缩小、变更、暂停和撤销认证范围发出通知和处理相关事宜。

The sales department is responsible for inform the client of the granting, maintaining, expanding, reducing, updating, suspending, and withdrawing the scope of the certification.

d) 管理部负责在公司网站上发布授予、保持、扩大、缩小、变更、暂停和撤销认证范

围的信息。

The Management Department is responsible for publishing information on the granting, maintaining, expanding, reducing, updating, suspending, and withdrawing the scope of the certification. on the website.

4 认证资格的批准、保持

4.1 认证的批准 Approval of certification

4.1.1 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，并且内部审核和管理评审的有效性得到验证，在认证审核报告中同意推荐注册。本机构认证部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。

Audit team confirms that auditee has been carried out the complete internal audit that cover all requirements of standard once, and the validity of internal audit and management review are validated, it's approved to recommend the registration in the audit report. The certification department of POSI inspect the relevant records of management system certification audit which submit by audit team be qualified, and submit to the certification decision makers to approve.

4.1.2 批准发证 Approval and issue of certificates

4.1.2.1 经认证决定人员审定过的资料，若满足认证要求,本机构总经理/授权人签发认证证书，管理部负责证书的打印工作和邮寄并在本机构网站上公布；

The documents which approved by certification decision makers could meet the requirement of certification, submit to General Manager/authorizer for issuing the certificate, Management Department is responsible for printing and registering on the website.

4.1.3 客户在获证后，应严格按照公司的要求，正确使用认证证书和认证标志。

After obtaining the certificate, the client shall strictly follow the POSI's requirements and use the certificate and certification mark correctly.

4.2 认证资格的保持 Maintenance of registration

本机构管理体系认证证书的有效期最长为三年。作为最低要求，初次认证及再认证后的第一次监督审核应在认证证书签发之日起 12 个月内进行。此后，监督审核间隔不应超过 12 个月，第二次监督与初次认证及再认证发证日期时间间隔不得超过 24 个月，且每个日历年应有监督审核（初次认证和再认证的年份除外）。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。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 POSI's management system certification certificate is a maximum of three years. As a minimum requirement, the surveillance 1 audit after initial certification/re-certification should be conducted within 12 months from the date of issuance of the certification certificate. Subsequently, the interval between surveillance audits should not exceed 12 months. The interval between the surveillance 2 audit and the date of issuance of the initial certification/re-certification should not exceed 24 months, and there should be a surveillance audit in each calendar year (except for the year of initial certification/re-certification). The certified organization shall submit the application for recertification to POSI three months ahead of the expiry date of certification certificate. Within the valid time of the certification certificate, if the management system of the certified organization has changed, or standard which management system certification base on, has changed, the surveillance audit or re-certification audit shall be applied for again.

满足以下条件，公司可根据审核组长的肯定性结论保持对客户的认证：

When it meets following conditions, POSI can maintain client's certification in accordance with the affirmative conclusion of audit team leader:

a) 任何严重不符合项或其他可能导致暂停或撤销的情况已经有适宜能力的认证决定人员复核；

For any nonconformance which may results in the certification's suspending and withdrawal or other situations，has been reviewed by certification decision maker the adequate competence and is not involved in this audit;

b) 监督审核报告已经有适宜能力且未参与审核的认证决定人员复核。

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

5 认证范围的扩大缩小 Extending and reducing of certification scope

5.1 认证范围扩大 Extending of certification scope

5.1.1 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，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 original certification scope of certificated organization, they need to provide the changed system files and relevant documents, the changed

application and organize the contract review for the changed scope and forward to other department for review and arrange the on-site audit.

5.1.2 本机构将委派审核组对获证组织管理体系文件及管理体系运行是否覆盖了需扩大的认证范围进行审核，并提交现场审核的相关资料，经资料审查合格、认证决定人员审定后，如需扩大的认证范围满足认证要求，本机构将为其颁发经扩大认证范围的管理体系认证证书，同时收回原证书。

POSI shall arrange the on-site audit to verify whether the certified organization management system document and the operation cover the extending scope and submit the relevant document of the on-site audit, the certification decision maker shall review the document, if acceptable, our company will issue the certificate for the extending scope and withdraw the original certificate.

5.1.3 根据获证组织要求可单独进行扩大认证范围审核，也可结合监督审核或再认证进行。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时，涉及扩大认证范围的部分应对主要条款进行审核。项目管理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。

POSI can carry out the extending scope certification independently according to client's requirement, and also can combing with surveillance or re-certification. If the special audit for extending the certification scope only, the audit shall cover all clauses in the standard required, if combine with surveillance, the audit shall cover all clauses for the extending scope, the program management personnel shall consider the duration for increased scope related activity/product complexity, possible risk level and organization scale etc factors.

5.2 认证范围缩小 Reducing 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，公司将会排除不满足的部分，缩小其认证范围。

POSI shall remove the dissatisfactory parts of certified organization or reduce its certification scope if certain part of its certification scope fails to comply with the certification requirements continuously or severely.

5.2.1 缩小管理 Management of reduction

5.2.1.1 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。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 should advise our company when the product/service scope or the organization

structure is reduced for some reason. Either the audit team should communicate with the organization to confirm whether reduce the certification scope or not when they find the organization scope have been reduced in the surveillance.

5.2.1.2 缩小后的认证范围应满足独立认证的条件。如在本机构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 should meet the condition of independent certification. Such as the audit team couldn't check whether the reduced certification scope can meet the independent certification, they should confirm on client's site combining with surveillance or arrange special audit.

6 认证资格的暂停和恢复 Suspending and Reinstating of certificates

6.1 暂停条件 Suspending condition

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。暂停期限不得超过6个月（无特殊情况下，暂停期限为2个月），另外，IECQ HSPM认证证书，一般不超过1个月（无特殊情况下，暂停期限为1个月），但属于第 6.1.3（c）项情形的暂停期可至相关单位作出许可决定之日。对于暂停的认证证书，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。

POSI will suspend the certificate within 5 days after check and verification, if the certified organization exists one of the following situations that has impact on continuous effectiveness and public confidence of certification. The suspending period shall not exceed 6 months (Without any special circumstances, the suspension period will be two months); Besides, for IECQ HSPM certificate, normally not exceeding one month (Without any special circumstances, the suspension period will be one months), but for the 6.1.3(c) item, the suspending finishing time can be on the date that the relevant unit makes the decision on approval. When the certificate suspended, POSI requires the certificate holder to suspend using the certificate and the mark.

6.1.1 获证客户管理体系持续或严重不满足认证要求，包括对管理体系运行有效性的要求；由获证客户提供的或在特殊审核期间，审核组直接收集的有关导致监管机构参与（调查）的事件信息，如严重事故或严重违法（行为），应为 POSI 提供决定采取措施的理由，包括，一旦证明体系严重地不能满足 OHSMS 认证要求而采取的暂停或撤销认证的措施。不满足适用的法律法规要求，且未采取有效纠正措施的；

The management systems of certificate holders don't meet the certification requirements constantly or badly, including the requirements on the effectiveness of management system; Information on incidents such as a serious accident, or a serious breach of regulation necessitating the involvement of the competent regulatory authority, provided by the certified client or directly gathered by the audit team during the special audit, shall provide grounds for the POSI to decide on the actions to be taken, including a suspension or withdrawal of the certification, in cases where it can be demonstrated that the system seriously failed to meet the OH&S certification requirements.Those that fail to meet the requirements of applicable laws and regulations and have not taken effective corrective measures;

6.1.2 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：

The organization that doesn't commit itself to the responsibility and obligation regulated in the certification contract; including but not limited to following content:

a 未按POSI/G05《认证证书及标志使用说明》要求使用本机构签发的管理体系证书和认证标志；

The certificate holders don't follow the POSI/G05"usage rules for certificate and logo" to use the management system certificate and certification marks issued by our organization;

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；

When the management systems have significant changes, leading to failing to meet the requirement of original certification scope, however the certificate holders don' t inform our organization to handle appropriately;

c 未按规定及时交纳有关认证费用；

Relevant certification fee is not paid in accordance with the regulations timely;

d 不能在规定的时限内接受监督审核、特殊审核；

If the organization can't accept the surveillance audit, special audit within a prescribed time limit;

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监督检查，或者提供虚假材料或信息的；

The certificate holders refuse carrying out the surveillance audit, special audit within the stipulated time limit, or not accept or cooperate the internal audit for certification effectiveness carried out by our organization and supervision inspection conducted by national authorized departments, Refusing to cooperate with the certification and law enforcement supervision and inspection

conducted by the market supervision department, or providing false materials or information;

6.1.3 其他违反与本机构签订的合同及其协议的规定；

Other violate the provisions of the contracts and agreements signed with or organization;

a 被有关执法监管部门责令停业整顿的；

The certified organization is ordered to suspend business for rectification by the relevant law enforcement and supervision department;

b 受到与质量相关的行政处罚，且尚未完成整改的；

Those who have received administrative penalties related to quality and have not yet completed the rectification;

c 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；

The system operation of the certified organization is found problem by the local certification supervision department, the certificate shall be suspended;

d 持有的行政许可证明、资质证书、强制性认证证书等过期失效，重新提交的申请已被受理但尚未换证的；

The administrative licensing certificate, qualification certificate, compulsory certification certificate etc. held by the certified organization is overdue and lose efficacy, while the application for new certificate has been submitted and accepted but the certificate has not changed yet;

e 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）；

The correction/ corrective measures for the inconformity found during the surveillance audit, special audit and internal audit for certification effectiveness are not accepted In the agreed time (or the effectiveness is not proved);

f 发生影响产品质量/环境绩效/职业健康安全绩效/食品安全/信息安全/能源管理的重大事故，或国家行业监督检查发现重大问题，新闻媒体曝光事件，或在国抽检查中发现不合格；发生与质量相关重大舆情的；

The serious accidents about the products quality, environmental performance, occupational health and safety performance, food safety, or the major issues found during the supervision and inspection, events exposed by news press, or non-conformity was found in AQSIQ; Occurrence of major public opinion incidents related to quality;

g 特殊行业，在特定时期国家有要求予以暂停的；

Some certificate holders State require to suspend by special industries in specific period of time;

h 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；

Because of complaints and other information that no longer meets the relevant requirements of our organization;

i 获证客户主动请求暂停；

The certificate holders ask for suspension proactively;

j 其他不满足本机构认证要求的情况。

Other situation that fail to meet the certification requirements.

6.2 暂停管理management of Suspension

6.2.1 获证组织存在符合暂停准则任一情形，证书管理人员应按本机构得要求提交《认证证书撤销/暂停审批表》，并经认证部经理、总经理或授权人审批后，向获证组织发出《暂停通知函》。

The certificate holders have any situation in line with the suspension rules, certification management person would submit the suspension process via submitting "Certificate Revocation/Suspension Approval Form" to Certification Manager and General Manager or the authorized person, after approval, shall send "notification of suspending the certificate/mark" to the certificate holders.

6.2.3 信息上报人员负责按规定应在当日内向国家行业主管部门上报暂停信息，并及时在公司网站上公布暂停信息。

According to regulation, information report person is responsible for reporting the suspending information to CNCA, and timely publicizing the suspending information on the website of the company.

6.2.4 如果客户未能在规定的时限内解决造成暂停的问题，公司将撤销证书或缩小其认证范围。

If the client fails to resolve the issue that caused the suspension within the prescribed time limit, POSI will withdraw the certificate or reducing the certification scope.

6.3 暂停认证资格的恢复 Reinstating 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至公司认证决定人员评审后（具体见《管理体系认证资格暂停恢复审批表》），经审批可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和网站信息。

The suspended certified client has taken the action to eliminate the reason which caused the suspension, and provide the effective evidence to decision maker for review(details see Management system certification qualification suspension resume approval form)， after the approval, POSI can re-instate the certificate. And update the certificate status in the company management system and the website.

7 提前较短时间通知审核 Audits which are informed in a shorter time

这类审核包括对被暂停组织进行跟踪、为调查投诉、对变更做出回应的审核等，审核可能会在较短的时间内通知已获证组织或不通知获证客户就对其进行审核：

These audits include the tracking of the suspended organizations, the audits which have given responses to investigating complaints and changes etc, and they may be informed to certified organizations in a shorter time or unannounced:

a) 获证组织发生了重大质量/环境/安全事故；
   Major quality/environment /OHS accident
b) 相关方严重投诉、抱怨，或其他来自相关方的信息的分析，表明已获证的组织不再满足POSI的要求；
   Relevant parties' major complaints or the analysis of information from other relevant parties proves that certified organization will no longer meet the requirements of POSI;
c) 获证组织认证范围内的产品在产品质量国家监督抽查中被查出不合格时，自市场监管部门发出通报起 30 日内，POSI将对该组织实施提前较短时间通知的审核。
   If products within the certification scope of the certified organization are found to be unqualified during the national supervision and inspection of product quality, within 30 days from the date the market supervision department issues the notification, POSI will conduct an audit of the organization with a shorter notice period in advance.

提前较短时间通知的审核应提交审核报告记录调查的结果。

The audit of the short-term notice should be submitted to the audit report record survey results.

8 认证证书/标志的撤销 Withdrawing of certificates and marks

8.1 撤销准则 Withdrawn rules

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 the certified organization has one of the following situations within 5 days, after gathering the relevant information, investigation and verification, POSI will withdraw the certificate and require

the certificate holder to stop using the certificate / mark:

8.1.1 被注销、破产或撤销法律地位证明文件的。

The legal status documentary evidence of the certified organization is cancelled, withdrawn, or the certified organization goes bankrupt.

8.1.2 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。

Organizations who have been included in the "State-owned Enterprise Credit Information Publicity System" and "Credit China" as seriously illegal and dishonest entities.

8.1.3 出现重大的产品和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/信息安全/能源管理的重大事故，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。

Those certificate holders who have the serious accidents about the products and service quality, environmental performance, occupational health and safety performance, and the cause is that the system has serious defects or the don’t carry out investigation the root cause of the serious accidents and take effectiveness action with the period of withdrawn.

8.1.4 严重违反双方认证合同规定的。

Violate seriously the provisions of the contracts and agreements signed with or organization.

8.1.5 有其他严重违反法律法规行为的。

Other behaviors that seriously violate the laws and regulations.

8.1.6 暂停期限已满但导致暂停的问题未得到解决或纠正的认证证书（包括持有的与质量管理体系范围有关行政许可证明、资质证书、强制性认证证书等已过期失效但申请未获批准）。

The suspending period is finished, but the problem causes the suspending hasn’t been resolved or corrected (including the held administrative licensing certificate, qualification certificate, compulsory certification certificate relating to the scope of quality management system expires and lose the effectiveness, but the application is not approved).

8.1.7 没有运行质量管理体系或者已不具备运行条件的。

The quality management system is not running or has no condition for running.

8.1.8 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持续未纠正的。

The certified organization doesn’t correctly reference and publicize the obtained certification

information according to relevant provisions, and resulting in severe impact or result, or certification body has required the certified organization to correct, but the certified organization hasn't corrected for long time.

8.1.9 其他应当撤销认证证书的。

Other situations that the certification certificate shall be withdrawn.

8.1.10 获证客户主动要求撤销证书；

The certificate holders ask for withdrawn proactively

8.1.11 其他重大影响管理体系有效性的情况。

Other situation that great influence on management system effectiveness

8.2 撤销手续 Withdrawing procedures

8.2.1 获证组织存在符合撤销准则任一情形，证书管理人员应按本机构得要求提交《认证证书撤销/暂停审批表》，并经认证部经理、总经理或授权人审批后，向获证组织发出《撤销认证证书/标志资格通知函》。

If the certificate holder meets each one following withdrawn rule, certification management person shall present withdrawing process via submitting "Certificate Revocation/Suspension Approval Form" to Certification Manager and General Manager, the notification letter shall clearly inform the certified organization that the certified organization cannot use the certificate, mark or reference certification information by any means when the certificate is withdrawn. After the approval by general manager, 'withdrawing certificate mark notification'shall be send to certificate holder.

8.2.2 信息上报人员负责按规定应在当日内向国家行业主管部门上报撤销信息，并及时在公司网站上公布撤销信息。

According to regulation, information report person is responsible for reporting the withdraw information to CNCA, and timely publicizing the withdraw information on the website of the company.

8.2.3 认证证书自撤销之日起将不可被恢复。自暂停/撤销之日起 1 年内不可申请认证。

The certificate will not be reinstated after be withdrawn. Applicants are not eligible to apply for certification within one year from the date of suspension/withdrawal.

8.2.4 销售部负责撤销认证证书的收缴工作，回收证书并存档管理。

Sales department shall timely take back the withdrawn certificate, and archive for management.

9 认证证书/标志的注销 Cancel of certificates and marks

9.1 获证组织主动申请不再保持认证证书时，POSI 将确认该认证证书是否存在暂停或撤销情形。存在暂停或撤销情形的，应撤销其认证证书，证书状态由有效变更为撤销；不存在暂停或撤销情形的，应注销其认证证书，证书状态应由有效变更为注销。POSI 将通知并要求获证组织停止使用该认证证书和认证标志。

When a certified organization voluntarily applies to no longer maintain its certification certificate, POSI will confirm whether there are any suspension or withdraw circumstances for the certificate. If there are such circumstances, the certification certificate should be withdrew, and the certificate status should be changed from valid to withdrawal; if there are no such circumstances, the certification certificate should be cancelled, and the certificate status should be changed from valid to cancelled. POSI will notify and require the accredited organization to stop using the certification certificate and the certification mark.

9.2 注销的认证证书失效，且不可恢复。

The cancelled certification certificate becomes invalid and cannot be restored.

9.3 注销手续同撤销。

The cancellation procedure is the same as the withdrawal.

10 文件修订历史 Document Revision History

日期 Date	修订内容 Revision Content	版次 Version
2017-09-15	初始发布 Initial Issue	0
2021-05-17	细化暂停和撤销的决定流程 Refine the decision-making process for suspension and repeal	1
2023-12-12	修改 QC 证书的暂停有效期 Modify the suspension validity period of the QC certificate	2
2024-10-15	细化 6.1.1 暂停条件 Refine 6.1.1 Pause conditions	3
2026.01.01	增加提前较短时间通知审核的情况；修改暂停、撤销的情况；增加注销的情况 Increase the cases where notifications for audit are given in a shorter period of time; modify the situations of suspension and withdrawal; add the case of cancellation.	4