

# 管理体系认证后的监督和再认证及证书保持、扩大、缩小、暂停、注销及撤销认证的规则

## Rule for the Management of Surveillance and Recertification Audit and Maintaining, Extending, Reducing, Suspending, Canceling and Withdrawing of the Certificate after the Management Systems Certification

1 新世纪检验认证有限责任公司（以下简称 BCC）对获证客户在证书有效期内对其管理体系运行情况实施监督及再认证审核以验证组织持续满足认证的要求。BCC Inc. (BCC hereinafter) will conduct the surveillance audit and recertification audit of the management system of the certified client within the certificate validity and verify the competence to conform to the certification requirements continually.

### 1.1 认证有效期：Certification validity period

1.1.1 认证证书的有效期限最长为三年，初次发证的认证证书的有效期限为三年，再认证证书有效期也不得超过三年；认证证书有效期的起算日期为认证证书签发日期；The maximum validity period of a certification certificate shall be three years. The validity period of an initially issued certification certificate shall be three years, and the validity period of a recertification certificate shall also not exceed three years. The validity period of a certification certificate shall commence on the date of its issuance.

1.1.2 对于未能在原认证证书到期前完成再认证决定的，获证组织的认证证书到期后自动失效，直至获得新签发的再认证证书，新签发的再认证证书的终止日期不超过上一认证周期终止日期再加 3 年。For certified organizations that fail to complete the recertification decision before the expiration of the original certification certificate, their certification certificate shall automatically expire upon the end of its validity period, until a newly issued recertification certificate is obtained. The expiry date of the newly issued recertification certificate shall not exceed the expiry date of the previous certification cycle plus an additional three years.

1.1.3 三年认证周期自初次认证或再认证的认证决定批准之日算起。The three-year certification cycle shall start from the date on which the certification decision for initial certification or recertification is approved..

### 1.2 监督审核：Surveillance audits:

1.2.1 除社会责任管理体系（SA 8000）的其他管理体系的获证组织应进行第一年和第二年的监督审核和第三年的再认证审核。监督审核的安排应同时满足以下要求：Except SA 8000, the management system certified clients shall accept the surveillance audits in the 1st and 2nd year and recertification in the 3rd year. The arrangement of surveillance audits shall meet the following requirements simultaneously:

(1) 初次认证及再认证后的第一次监督审核应在认证决定之日起 12 个月内进行，第二次监督审核应在认证决定之日起 24 个月内进行；The first surveillance audit after initial certification and recertification shall be conducted within 12 months from the date of the certification decision, and the second surveillance audit shall be conducted within 24 months from the date of the certification decision;

- (2) 两次监督审核的时间间隔不应超过 12 个月，即本次监督审核的开始日期距上一次监督审核的结束日期不超过 12 个月：The time interval between two consecutive surveillance audits shall not exceed 12 months, i.e., the start date of the current surveillance audit shall be no more than 12 months from the end date of the previous surveillance audit;
- (3) 除再认证的年份外，监督审核每个日历年需要进行 1 次，即每个日历年至少必需接受一次监督审核或再认证审核。Except for the year of recertification, one surveillance audit shall be conducted each calendar year, which means at least one surveillance audit or one recertification audit must be performed each calendar year.

每次监督审核应尽可能覆盖认证范围内的典型产品/服务及有代表性的生产/服务过程，并确保在认证证书有效期内的监督审核覆盖认证范围内的所有典型产品/服务、有代表性的生产/服务过程。认证证书有效期内的监督审核累计应覆盖认证标准的所有要求。Each surveillance audit shall cover, as far as possible, the typical products/services within the certification scope and the representative production/service processes, and it shall be ensured that the surveillance audits conducted during the validity period of the certification certificate cover all typical products/services and representative production/service processes within the certification scope. The cumulative surveillance audits during the validity period of the certification certificate shall cover all requirements of the certification standard.

注：在认证证书有效期内，为保证每个日历年都监督审核以保证认证证书有效性，可能会增加第三次监督审核或提前进行再认证审核的情形；否则将可能导致认证证书被暂停。Note: During the validity period of the certification certificate, a third surveillance audit may be conducted or a recertification audit may be advanced to ensure that a surveillance audit is carried out in each calendar year for the validity of the certification certificate; otherwise, the certification certificate may be suspended.

#### 1.2.2 对于社会责任管理体系（SA 8000）的获证组织：For SA8000 certified organizations：

- (1) 多场所认证组织，应每 6 个月进行一次监督审核，第一次监督审核应自初次认证或再认证决定 6 个月内进行。同时，每年至少一次监督审核应在组织活动的旺季或高峰。当获证组织发生投诉、重大变更或严重不符合时，有可能需要额外增加不通知审核。Multi-site certification organizations should accept surveillance audits every six months. and the first surveillance audit shall be conducted within six months since the date of certification decision of initial certification or recertification. At the same time, at least one surveillance audit in each year shall be in the peak season or peak period of organizational activities. When the certified organization receives complaints, undergoes major changes, or has serious nonconformities, it may be necessary to add additional unannounced audits.
- (2) 单场所认证组织，第一次监督审核应自初次认证或再认证决定 6 个月内进行，之后为一年一次现场监督审核。其中两次现场监督审核之间有一次跟踪评审。For single-site certification organizations, the first surveillance audit shall be conducted within 6 months from the initial certification or recertification decision, followed by on-site surveillance audits once a year thereafter. Among which, there is one follow-up review between two consecutive on-site surveillance audits.

### 1.3 再认证：Recertification:

1.3.1 获证客户应在证书有效期满前三个月内向 BCC 提出书面申请，并签订再认证合同、签订再认证合同、接受现场审核、缴纳认证费用并符合认证条件以确保完成认证批准。因获证客户未按期履行前述义务导致认证无法批准的，乙方不承担任何责任。再认证审核应在认证到期前完成，以较早者为准；正常情况下，不符合的关闭及认证决定也应在认证到期前完成。当可获证客户的体系或运作环境（如法律法规、标准等）有重大变更时，经评价需要时，再认证需实施第一阶段审核。The certified client

shall present the written application to BCC three months before the validity of the certificate and sign the recertification contract. The client shall accept recertification onsite audit. Pay the fees and meet the certification requirements to insure approval. If the certified client has not fulfilled the previous obligations under the schedule, which leads to the failure of approval of the certificate, BCC will not bear any responsibility. The recertification audit shall be conducted before the expiration of the certification; normally, the closure of nonconformities and the certification decision shall also be completed before the expiration of the certification. When the certified client is unable to carry out within 12 months due to reasons such as stop production or relocation, etc., the end date of the recertification audit shall not exceed the date of the expiry date of the current certification. If there is significant change in the system or operation environment of the clients, such as laws, regulations, standards, etc., a first stage audit will be necessary for recertification after evaluation.

- 1.3.2 再认证申请时,其认证证书应为有效状态。The certification certificate shall be in a valid status when submitting the recertification application.
- 1.3.3 不能在认证证书到期前完成再认证现场审核的,应按初次认证开展认证活动。If a certified organization is unable to complete the on-site recertification audit before the expiration of its certification certificate, the certification activities shall be carried out in accordance with the initial certification process.
- 1.3.4 再认证审核开具严重不符合的,严重不符合的关闭(对纠正和纠正措施有效性的验证)需要在认证到期前完成,认证决定应在原认证证书到期后6个月内完成。再认证审核的严重不符合未在认证证书到期前完成验证的,认证证书到期自动失效。获证组织再次申请认证的,应按照初次认证开展认证活动。If a major nonconformity is identified during the recertification audit, the closure of the major nonconformity (verification of the effectiveness of corrections and corrective actions) shall be completed before the expiration of the certification. The certification decision shall be finalized within 6 months after the expiry of the original certification certificate. If the verification of the major nonconformity identified in the recertification audit is not completed before the certification certificate expires, the certification certificate shall automatically become invalid upon expiration. If the certified organization reapplies for certification, the certification activities shall be carried out in accordance with the initial certification process.
- 1.3.5 再认证审核开具一般不符合的,一般不符合整改资料需要在认证到期前或审核结束后30天内(以较早者为准)提交给BCC进行验证。特殊情况下,在当前认证证书到期后,如果能够在6个月内完成未尽的再认证活动(如获证组织的一般不符合的整改及BCC的认证决定工作),则可以恢复认证,证书的生效日期不应早于再认证决定日期,终止日期不超过上一认证周期终止日期再加3年。否则获证组织应重新申请认证,应按照初次认证开展认证活动。For minor nonconformities raised during recertification audits, corrections and corrective action documentation must be submitted to BCC for verification either before the certification expiration date or within 30 days after the audit completion (whichever comes first). Under special circumstances, if outstanding recertification activities (including the closure of minor nonconformities and BCC's certification decision) can be completed within six months after the current certificate's expiration, certification may be restored. The effective date of the renewed certificate shall not precede the recertification decision date, and its expiration date shall not extend beyond three years from the original certification cycle's expiration date. Otherwise, the certified organization shall reapply for certification and the certification activities shall be carried out in accordance with the initial certification process.
- 1.4 如获证客户未按期接受监督、再认证审核,应依据相关规定认证证书将被暂停,获证组织应立即停止使用认证证书及标识。If a certified client fails to undergo the surveillance audit or recertification audit as

scheduled, the certification certificate shall be suspended in accordance with relevant provisions, and the certified organization shall immediately cease using the certification certificate and its marks.

**1.5** 监督、再认证的程序参照初次审核的程序进行。Surveillance and recertification procedures please refer to initial audit procedures.

## **2 管理体系的变更 Changes in management systems**

如果获证客户对其管理体系进行了重大更改或者发生了影响认证基础的更改， 监督活动应依据特别规定进行。If the significant variation of the certified client has affected the basis of the management system, the surveillance audit shall be conducted against the special regulations.

**2.1** 体系发生重大更改的情况， 如： The significant variation of the management system may include:

- a) 更换主要负责人； The change of the primary responsible personnel of the certified client;
- b) 管理体系覆盖产品发生变化， 扩大或缩小范围； The signification variation of the product in the management system, e.g. The scope extended or reduced;
- c) 管理体系文件进行重大修改； Major revision to the management system documents;
- d) 顾客或相关方有重大投诉； Serious complaints by the customer or interested party;
- e) 组织机构进行了重大调整， 扩大或缩小范围（包括重要的人员、设备、设施或其他重要资源）。 Important shift in the organizational structure, e.g. the structure extended or reduced (including the important personnel, equipment, facilities or other vital resources);

**2.2** 发生上述 2.1 中 a)-e) 的情况时： Once any case mentioned in the above 2.1 a)- e)

- a) 获证客户应自行评价对法律法规要求的符合性， 并对不符合相关法律法规要求采取纠正措施； The certified client shall evaluate the conformity to the laws and regulations by itself and take corrective actions to the nonconformities.
- b) BCC 应确认获证客户在此方面运行的符合性、有效性； BCC shall verify the conformity and effectiveness of the operation conducted by the certified client.
- c) BCC 应同时确定是否需要增加非例行监督， 或在例行监督审核时加强相关内容的审核。 BCC will simultaneously decide whether to conduct an unscheduled surveillance audit apart from a regular surveillance or to add any more contents to the regular surveillance.

**2.3** 对于确认不符合要求的或在监督审核中发现获证方存在严重不符合或其他重要问题， 视情节轻重和纠正情况， 可做出如下处理决定： The decisions will be made according to the nonconformities confirmed or the major nonconformities/serious problems of the surveillance in the certified client identified in the surveillance with the consideration of the severity and correction:

- a) 缩小认证范围； Reduction of the certification scope;
- b) 暂停使用认证证书和认证标志； Suspension of the use of certificate and certification marks;
- c) 撤销使用认证证书和认证标志。 Withdrawal of the use of certificate and certification marks;

## **3 认证证书的变更， 扩大、 缩小 The change, expansion and reduction of the certification certificate**

凡出现体系认证标准、 认证范围等变更时， 需要按规定， 由申请方提出书面申请， 经新世纪检验认

证有限责任公司审查批准后准予换证，换证的原因有以下几种情况：If there is any change to the standards or certification scope, the certified client shall apply for renewal of accreditation certificates in accordance with the rules. The certificate will be re-issued with the confirmation and approval by BCC Inc. The causes of re-issuing the certificate include:

### 3.1 获证客户注册信息发生变更 Registration information of the certified client had been changed;

3.1.1 当组织名称发生变更时，不涉及上述 2.1 所列情况，经评审确认后，变更注册信息，换发认证证书（必要时需结合监督审核）；Name of the certified client had been changed with the exclusion of the cases mentioned in 2.1. The registration information will be changed and the certificate will be re-issued after confirmation. (The re-issuing of the certificate will be conducted with the surveillance audit if necessary.)

3.1.2 当组织的经营地址发生变更时，应评审生产设施、设备变更，是否造成对产品质量影响、环境影响、职业健康安全影响等，应评审适用的地方环境、职业健康安全是否发生变更。仅属于行政区划/地名变更，而不涉及上述生产变更、适用的地方环境、职业健康安全发生变更的，变更注册信息后换发证书；涉及上述生产变更、适用的地方环境、职业健康安全发生变更的，可结合获证客户提供的相关评价进行评定，换发证书，必要时需结合现场审核，在评定通过后办理变更手续，并换发认证证书。When the business address of the certified client changes, BCC shall evaluate the change of production equipment and facilities to confirm the impact on the product quality, environment and occupational health and safety. BCC shall also evaluate whether the applicable local environmental and occupational health and safety regulations and requirements have been changed. The registration information will be changed and the certificate will be re-issued only if the administrative division/ geographical name has been changed but not involving in the change of production, change of applicable local environmental and occupational health and safety regulations and requirements. The change of the latter will be reviewed after the documents supplied by the certified client have been evaluated. The certificate will be re-issued after the evaluation and review. If necessary, the certificate will be re-issued after an on-site audit had been conducted and the registration information had been changed with the approval of review.

3.1.3 以上变更，发生特殊情况时 BCC 会根据具体的情况决定评定的方式。BCC will determine the device of certification review in the special case of the change mentioned above.

### 3.2 认证扩大 Extension of the Certification Scope

由获证客户提出书面申请，提供与扩大认证范围相适应的管理手册，经 BCC 审查并决定是否受理，受理后签订扩大认证范围合同。BCC 将安排专人进行文件审查，并进行现场审核，现场审核重点是审核扩大认证范围相关过程、活动和部门、生产现场，具体实施按认证程序进行。审核结束后，经 BCC 审定，总经理批准后，扩大认证范围并更换认证证书。BCC will review and decide whether to accept the application for extension when the certified client applies for the extension in written and provides the management manual that is applicable to the scope extended. The contract of extension will be signed after the application has been accepted. BCC will arrange a certain auditor to conduct the document review and on-site audit. The on-site audit will focus on the relevant process, activity, department, production premises of the extension scope. The audit shall be conducted in accordance with the *General Procedure for Management System Certification*. The extension of certification scope will be approved by the General Manager after the review and the certificate will be re-issued.

### 3.3 认证缩小 Reduction of the Certification Scope

3.3.1 BCC 在正常的监督/再认证审核时如发现获证客户的审核范围与认证证书不符、审核计划中规定的部分审核范围没有生产工作现场，审核组可缩小认证范围，并在审核报告中说明，审核结束后，经 BCC 审定，总经理批准后，缩小认证范围并更换认证证书。The certification scope may be reduced when

BCC discovers that the audit scope of the certified client does not conform to the certification scope in regular surveillance/recertification audit, or some of the product is not in production. The reduction shall be stated in the audit report. The reduction of certification scope will be approved by the General manager after the review and the certificate will be re-issued

3.3.2 BCC 通过非例行监督审核或通过相关社会信息发现获证客户的部分认证范围不能满足法律、法规或标准要求时，经 BCC 核实、审定，经总经理批准后，缩小认证范围并更换认证证书。The reduction of certification scope will be approved by the General Manager after the review and the certificate will be re-issued when BCC discovers that the part of the scope of the certified client does not conform to the requirements of laws, regulations and standards through the unscheduled surveillance or social information collected.

3.3.3 获证客户欲缩小认证范围时，应及时向 BCC 提交书面报告，说明缩小范围的原因，BCC 接到获证客户报告后，经 BCC 审定，总经理批准，缩小认证范围并更换认证证书。The written application with the reason for reduction shall be submitted to BCC if the certified client requires reducing the certification scope. The reduction shall be stated in the audit report. When BCC receives the application of the certified client, the reduction of certification scope will be reviewed. The certificate will be reissued after the approval of the General Manager.

#### 3.4 认证要求的变更，包括认证标准的换版 **Change of certification requirements including transition of certification standards**

当认证要求发生变更时，BCC 提前通知获证方和申请方以便获证客户在规定的时间内按新要求调整管理体系和采取措施，以保持认证资格。未在转换有效期内新要求转换的获证组织，其注册资格的原截止日期如在转换有效期之后，则 BCC 将在转换期结束当天其注册资格办理失效并依据相关规定在相关网站上更新注册资格的信息。When the certification requirement changed, BCC Inc. shall notify the certified client and applicant in advance of the certified client to adjust the management system and apply the measurements in accordance with the new requirements to ensure the maintenance of the certificate. Not within the validity of the conversion, the new certification of the conversion of the certified organization, the original expiry date for registration of qualifications, such as after the conversion is valid, then the end of the conversion period BCC will expire the registration of their qualifications and in accordance with the relevant provisions of the relevant website to update the registration qualification information.

#### 4 提前较短时间通知的审核 **short-notice audits**

4.1 当为调查投诉或严重事件（质量安全事故、产品质量在国家监督抽查中被查出不合格、突发环境事件、职业健康安全事件、生产安全事故、重大及以上级别网络安全事件、重大信息技术服务事故、食品安全事故、与能源有关的重大事故、医疗器械安全事故、被司法机关认定为反复恶意侵犯知识产权的事件、违反劳动法律法规等产生不良影响的事件）、对变更做出回应或对暂停的受审核方进行追踪时，BCC 可能安排较短时间通知受审核方的审核。BCC may arrange an audit with shorter notice to the auditee when necessary to investigate complaints or serious incidents (such as: quality and safety accidents, product quality failures identified in national supervisory random inspections, sudden environmental incidents, occupational health and safety accidents, work safety accidents, cybersecurity incidents at or above the major level, major information technology service accidents, food safety incidents; major energy-related accidents; medical device safety incidents; events repeatedly and maliciously violating intellectual property rights as determined by judicial authorities; incidents involving violations of labor laws and regulations that have caused adverse effects), respond to changes, or conduct a follow-up with a suspended auditee.

4.2 特殊管理体系，如 HACCP，也会将不通知现场的审核作为跟踪调查的方式之一。Specialized management systems, such as HACCP, also use unannounced on-site audits as one method for follow-up

investigations.

- 4.3** 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，应对该组织实施提前较短时间通知的审核。When a product within the certification scope of an organization is found non-compliant during a national quality supervision spot check, an audit with shorter prior notice shall be conducted for that organization within 30 days from the date of the market regulation authority's announcement.

## **5 认证证书的保持 Maintenance of the certification**

- 5.1** 获证客户需要通过定期的监督审核保持认证证书的有效性；Certified clients shall maintain the validity of their certification certificates through regular surveillance audits.
- 5.2** 获证客户监督审核通过并缴齐相关费用后，由 BCC 向获证客户发出“监督审核结论通知书”。BCC will issue the Notification of the Surveillance Result to the certified client after the certified client has been qualified in the surveillance and has paid the related fees.

## **6 证书状态的管理 Management of certification status**

### **6.1 认证证书的暂停 Suspension of the Certificate**

凡有下列情况之一者，BCC 将暂停获证客户使用认证证书和标志的资格。通常情况下，认证证书的暂停期限不超过6个月，对于社会责任管理体系(SA8000)认证证书的暂停期限为3个月。BCC Inc. will suspend the certificate and marks of the certified client in any case of the following. Normally, the suspension period of the certification certificate does not exceed 6 months, and the suspension period of the social responsibility management system (SA8000) certification certificate is 3 months.

- 6.1.1** 未能在规定的时间间隔内进行监督/再认证审核的；Failure to conduct surveillance / recertification audit within the specified interval;
- 6.1.2** 获证客户管理体系持续或严重地不满足认证要求，例如：获证组织的管理体系文件与实际业务运作严重脱离的；获证组织 HACCP 体系、食品安全管理体系不符合认证依据或相关产品不符合执行标准要求，不需要立即撤销认证证书的；The certified client's management system persistently or seriously fails to meet certification requirements, including those for management system effectiveness. For example: The management system documentation of the certified organization is severely disconnected from its actual business operations; the HACCP system or food safety management system of the certified organization is non-compliant with the basis of certification or related product standards do not meet implementation standards, where immediate revocation of the certificate is not required;
- 6.1.3** 获证客户被有关执法监管部门责令停业整顿的；The certified client has been ordered by relevant regulatory authorities to cease operations for rectification；
- 6.1.4** 获证组织发生较大产品质量事故、发生环境污染事故、发生较大职业健康安全事故、发生较大生产安全事故、发生食品安全事故、发生重大及以上级别网络安全事件、发生知识产权事件等，反映出组织的管理体系运行存在重大缺陷的；Where the certified organization has incurred a relatively serious product quality accident, environmental pollution accident, relatively serious occupational health and safety accident, relatively serious work safety accident, food safety accident, cybersecurity incident at or above the major level, intellectual property incident or other such incidents, which indicates that significant defects exist in the operation of the organization's management system;

- 6.1.5** 未能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；The

- organization fails to correctly reference or promote its obtained certification and related information, including the improper use of the certificate and certification marks ;
- 6.1.6 出现顾客对产品的重大投诉未能妥善处理并造成用户严重不满； Major customer complaints about products are not handled appropriately, causing severe dissatisfaction among users ;
- 6.1.7 出现国家、地方、行业对产品质量、环境管理、职业健康安全、食品安全、信息安全等监督抽查不合格； The organization fails national, local, or industry supervision spot checks related to product quality, environmental management, OHS, food safety, information security, etc ;
- 6.1.8 获证组织不接受或不配合认证认可监督管理部门的监督检查、见证评审及 BCC 的非例行审核的； The certified organization refuses to accept or cooperate with inspections, witness reviews from accreditation/certification oversight bodies, or non-scheduled audits from BCC ;
- 6.1.9 由于获证组织原因，导致不符合项未在规定的时间内完成有效性验证并关闭的；审核结束后 180 天内未能通过认证决定； Due to reasons attributable to the certified organization, non-conformities are not effectively verified and closed within the specified timeframe; or, the certification decision is not passed within 180 days after the audit ;
- 6.1.10 获证客户未能按合同约定金额支付管理体系认证费用，超过审核结束日期 90 天仍未支付认证费用； The certified client fails to pay the management system certification fees as stipulated in the contract, and payment remains outstanding more than 90 days after the audit conclusion date ;
- 6.1.11 持有的与获证管理体系范围有关的行政许可文件、（包括生产许可证、卫生许可证）、资质证书、强制性认证证书已经过期或失效； Holding administrative licenses, qualification certificates, or mandatory certification certificates related to the scope of the certified management system (including production permits, hygiene permits) have expired or become invalid ;
- 6.1.12 获证客户不承担或不履行认证合同约定的责任和义务，包括但不限于信息通报义务； The certified client fails to undertake or fulfill the responsibilities and obligations agreed upon in the certification contract, including but not limited to the obligation to report information ;
- 6.1.13 HACCP、社会责任管理体系（SA8000）获证客户无正当理由连续两次不接受不通知现场审核的； A certified client for HACCP or SA 8000 refuses two consecutive unannounced on-site audits without valid reason ;
- 6.1.14 社会责任管理体系（SA8000）的客户在审核中或审核后被开具了关键不符合； A SA 8000 client receives a critical non-conformity during or after an audit ;
- 6.1.15 OHSMS 获证组织故意的或持续的不符合法律法规和其他要求时； When OHSMS certified clients deliberate or consistent non-compliance with the legal requirements and other requirements ;
- 6.1.16 如果组织的工作设施或工作区域关闭，OHSMS 风险发生变化，随着员工原有风险的消失，出现了对于公众的新的重大风险，当组织不能证明其对关闭的工作设施或工作区域策划并实施了有效的控制时； If an organization's operational facilities or work areas are closed, changing the OHS risk profile such that new significant risks to the public emerge while existing employee risks disappear, and the organization cannot demonstrate that it has planned and implemented effective controls for the closed facilities or areas ;
- 6.1.17 获证组织不满足获证的管理体系适用的法律法规要求，且未采取纠正措施的； The certified organization fails to meet applicable legal and regulatory requirements for its certified management system and has not taken corrective actions ;

- 6.1.18 获证组织受到与获证的管理体系相关的行政处罚，且未完成整改的； The certified organization has received an administrative penalty related to its certified management system and has not completed the required rectifications；
- 6.1.19 发生与获证的管理体系有关的重大舆情的； A major public opinion incident occurs that is related to the certified management system； .
- 6.1.20 获证客户主动请求暂停； The certified client voluntarily requests a suspension；
- 6.1.21 其他（如发生投诉经调查后属获证客户应负责任的、获证客户与 BCC 双方同意暂停认证资格等）； Other circumstances (e.g., investigation of a complaint determines liability rests with the certified client; both the certified client and BCC mutually agree to suspend the certification).
- 6.1.22 监督审核期间发现的严重不符合，未在规定的期限内完成纠正措施的验证的； Where a major non-conformity identified during a surveillance audit has not completed verification of the corrective actions within the specified time limit.

## 6.2 认证证书的恢复 Certification Reinstatement

当组织采取纠正和纠正措施后，经验证符合要求后，给予恢复注册资格，恢复认证证书和认证标志的使用。对纠正/纠正措施的验证可以提交相关证据进行文件审核的方式，也可以进行现场专项审核的方式进行。When an organization implements corrections and corrective measures, and upon verification of compliance with requirements, its registration qualification shall be reinstated, along with the restoration of the use of the certification certificate and certification mark. Verification of the corrections/corrective measures may be conducted through submission of relevant evidence for document-based review, or via on-site special audits.

## 6.3 认证证书的撤销 Withdrawal of Certification Certificates

有下列情况之一者,BCC 将撤销获证客户使用认证证书和标志的资格；撤销的认证证书失效，且不可恢复。

In any of the following cases, BCC shall withdraw the certified client's qualification to use the certification certificate and mark; A withdrawn certification certificate becomes invalid and cannot be restored.

- 6.3.1 审核未通过； failed in the audit；
- 6.3.2 获证组织被注销或撤销法律地位证明文件的； The legal status documentation of the certified organization has been canceled or stripped；
- 6.3.3 认证证书的暂停期限已满但导致暂停的问题未得到解决或有效纠正的； The suspension period of the certification certificate has expired, but the issues causing suspension remain unresolved or ineffectively corrected；
- 6.3.4 监督审核时发现获证客户管理体系多项严重不符合规定要求，且在短期内无法有效纠正的； During surveillance audits, multiple major non-conformities with requirements are identified in the certified client's management system, and effective correction cannot be achieved in the short term；
- 6.3.5 获证客户没有运行管理体系或者已不具备运行条件的； The certified client has not operated its management system or has had no operation condition；
- 6.3.6 经行政监管部门确认因获证组织违规而造成产品或服务等重大质量安全事故； Major quality/safety incidents involving products or services caused by the certified organization's violations, as confirmed by administrative regulatory authorities；
- 6.3.7 FSMS/HACCP 获证客户出现严重的食品安全卫生事故的； FSMS/HACCP-certified client experiences a serious food safety and hygiene incident.

- 6.3.8 获证客户虚报、瞒报获证所需信息；The certified client provides false information or conceals required certification details;
- 6.3.9 获证客户违反国家食品安全管理相关法律法规；有严重违法法律法规的行为或者生产的产品或提供的服务不符合法定要求并造成严重影响；The certified client violates national food safety laws/regulations; commits serious legal violations; or produces non-compliant products/services causing severe impacts;
- 6.3.10 获证客户被“国家企业信用信息公示系统”和“信用中国”列入严重失信企业名单；或被应急管理部门列入安全生产严重违法失信主体名单（OHSMS）；The certified client is listed among "Seriously Dishonest Enterprises" in the National Enterprise Credit Information Publicity System and Credit China platform; ; or has been listed by the emergency management authority as a serious illegal and dishonest entity in workplace safety (OHSMS).
- 6.3.11 获证客户不再提供体系覆盖的所有产品和服务；The certified client discontinues products and services covered by the management system;
- 6.3.12 获证客户对相关方的重大投诉未能采取有效处理措施；The certified client fails to implement effective measures for handling significant complaints from interested parties;
- 6.3.13 获证客户发生了与能源有关的事故，反映出组织的能源管理体系建立及运行存在重大缺陷，且未能在规定时限内完成有效整改；The certified client experiences energy-related accidents reflecting significant deficiencies in the establishment and operation of its energy management system, and fails to complete effective rectification within the prescribed time limit;
- 6.3.14 获证客户的能源绩效未达到国家和地方政府发布的单位产品能源消耗限额标准要求或考核为“未完成”等级，且未能在规定时间内完成有效整改；The certified client's energy performance fails to meet the energy consumption limit standards per unit product issued by national and local governments or is rated as "unfulfilled," and fails to complete effective rectification within the specified time;
- 6.3.15 获证客户在证书有效期内受到相关执法监管部门处罚，且未能在规定时限内完成有效整改；The certified client receives penalties from relevant regulatory authorities during the certificate's validity period and fails to complete effective rectification within the prescribed time limit;
- 6.3.16 获证客户存在其它严重能源管理体系运行的严重不符合，不能在认证机构规定的时间内及时采取有效的纠正措施的；The certified client has other major non conformity of energy management system operation, and can not take effective corrective measures in time specified by the certification authority.
- 6.3.17 获证客户因未能按合同规定金额支付管理体系认证费用证书已处于暂停状态，超过暂停日期 90 天仍未支付认证费用；The certified client has had its certificate suspended for >90 days due to non-payment of contractual certification fees;
- 6.3.18 不承担、履行认证合同约定的监督审核过程中的责任和义务；The certified client fails to fulfill responsibilities/obligations during surveillance audits as stipulated in the certification contract;
- 6.3.19 获证组织因违规造成重大产品质量安全事故、获证组织因违规造成环境污染事故、获证组织发生重大职业健康安全事故、发生重大生产安全事故、发生食品安全事故、获证组织因违规而造成重大及以上级别网络安全事件的、发生知识产权事件等；The certified organization has caused a major product quality and safety accident in violation of regulations, has caused an environmental pollution accident in violation of regulations, has suffered a major occupational health and safety accident, a major workplace safety accident, or a food safety accident, has incurred a cybersecurity incident at or above the major level due to violation of regulations, or has been involved in an intellectual property incident, among other cases;

6.3.20 有其他严重违法违反法律法规行为的 Other ACTS of serious violation of laws and regulations.

6.3.21 其他需要撤销认证证书的情况。Other circumstances warranting withdrawn of the certification certificate.

#### 6.4 认证证书的注销 Certification Certificate Cancellation

当发生下列情况时，BCC 将注销认证证书，注销的认证证书失效，且不可恢复。BCC will cancel certification certificates under the following circumstances; A cancelled certification certificate becomes invalid and cannot be restored.

6.4.1 获证组织主动申请不再保持认证证书时，经 BCC 确认在不存在暂停或撤销情形后，注销其认证证书；When the certified organization voluntarily applies to surrender its certification certificate, BCC will cancel the certificate after confirming there are no active suspension or revocation circumstances.

6.4.2 获证客户再认证取得新证书后，原证书按注销处理。The original certificate will be canceled when the certified client obtains a new one through re-certification.

6.4.3 其他原因需要注销认证证书。Other reasons necessitating certificate cancellation.

#### 6.5 认证证书失效 Invalidation of Certification Certificates

当发生下列情况时认证证书将自动失效：The certificate will be invalid automatically in the following cases:

- a) 获证客户的认证证书自然到期时。The certificate of the certified client comes to the expiration;
- b) 获证客户通过再认证审核，并取得新的认证证书后，旧认证证书将自动失效。When the certified client has been qualified in the re-certification and has obtained a new certificate, the old certificate will be invalid automatically;
- c) 获证客户通过标准转换审核，并取得新的认证证书后，旧认证证书将自动失效。When the certified client has been qualified in a standard transition audit and has obtained a new certificate, the former certificate will be invalid automatically;

#### 7 证书状态信息公开 Public Disclosure of Certificate Status Information

7.1 获证客户认证证书被暂停、撤销、注销，相关信息将报国家及地方有关监管部门予以公布；he suspension, revocation, or cancellation of a certified client's certification certificate will be reported to relevant national and local regulatory authorities for public disclosure.

7.2 获证客户认证证书被暂停、撤销及注销后，相关信息将在 BCC 官网上予以公布。After a certified client's certification certificate is suspended, revoked, or cancelled, the relevant information will be published on BCC's official website.

#### 8 认证证书返还 Returing of Certification certificates

8.1 获证客户认证证书被撤销或注销后，应将 BCC 认证证书交回 BCC。Upon revocation or cancellation of a certified client's certification certificate, the certificate shall be returned to BCC.

#### 9 认证记录的保存 Retention of Certification Records

为了证实认证活动的实施，除了认证机构要保持认证记录外，获证组织应留存认证证书有效期内相应的认证记录，至少包括：To provide evidence for the implementation of certification activities, in addition to the certification body maintaining the certification records, the certified organization shall retain relevant certification

records during the validity period of the certification certificate, including at least:

- (1) 认证合同; Certification contract;
- (2) 审核计划; Audit plan;
- (3) 首、末次会议签到表; Sign-in sheets for opening and closing meetings;
- (4) 不符合报告及原因分析和纠正措施; Non-conformity reports with cause analysis and corrective actions;
- (5) 审核报告; Audit report;
- (6) 暂停、撤销通知(适用时)。Suspension or revocation notice (where applicable).

## 10 重新申请认证的限制条件 Restrictions on Reapplication for Certification

**10.1**对于 SA 8000 的获证客户, 如果因违反道德标准被开具了关键不符合而导致证书被撤销, 则必须在针对不符合所采取的纠正和纠正措施得到有效实施和验证之日起 12 个月以后才可以再次向 BCC 提出认证申请。For SA 8000 certified clients, if their certification certificate is revoked due to the issuance of a critical non-conformity for violating ethical standards, they may re-submit a certification application to BCC only 12 months after the effective implementation and verification of the corrections and corrective actions taken to address the non-conformity.

**10.2**依据 CNCA 发布的认证规则及相关管理要求, 因获证组织自身原因被原发证机构暂停、撤销或注销认证证书的, 认证机构(包括原发证机构)不能在原认证证书被暂停、撤销或注销未滿一年时, 受理该获证组织新提交的认证申请。认证证书暂停期满后被撤销的, 从认证证书被暂停的日期起算滿一年。认证证书暂停后未办理恢复并且认证证书在有效截止日期后失效的, 在其认证证书暂停滿一年后方可向认证机构(包括原认证机构)重新提出认证申请。In accordance with the certification rules and relevant regulatory requirements issued by CNCA., if a certification certificate is suspended, revoked, or cancelled by the original certifying body due to reasons attributable to the certified organization itself, no certification body (including the original certifying body) shall accept any new certification application submitted by the certified organization within one year from the date of the suspension, revocation, or cancellation of the original certification certificate. If the certification certificate is revoked after the expiration of the suspension period, the one-year period shall be calculated from the date on which the certification certificate was suspended. If a certification certificate is not reinstated after being suspended and becomes invalid upon the expiration date, the certified organization may re-submit a certification application to a certification body (including the original certification body) only after the suspension period of the certification certificate has expired for one year.