

1. 审核和认证服务 Audit and Certification Services

1.1 适用范围 Scope and Applicability

1.1.1 本文是针对《DQS审核和认证规则》的补充要求，当客户与德世爱普认证(上海)有限公司建立了认证服务合同时，这些要求适用。这些条款应加入到《DQS审核和认证规则》的相应条款中使用。

This document defines supplemental requirements to DQS Audit and Certification Regulations, which will apply when the Client has established a certification service contract with DQS AP Ltd. These clauses shall be used by being put into the associated clauses in DQS Audit and Certification Regulations.

1.4 合同与商业条款 The Contract and Commercial Terms

1.4.1 对于一份以手写签名、数字图像签名、数字文本姓名或公司印章签署的审核相关文件，当该文件通过客户/DQS的公司电子邮件地址发送时，DQS/客户作为收件人将承认该文件已由对方正式签署。

针对特别文件，其中一方也有权要求对方提供特定形式的签署。

Regarding an audit related document signed with handwriting signature, signature in digital image, name in digital text or company stamp, when it is sent via the client's / DQS' company email address, DQS / the client, as the recipient, will recognize that this document is officially signed by the counterparty.

For a particular document, a party may request the counterparty to provide it with signature in a specified manner.

2. 认证过程 The Certification Process

2.8 特殊审核 Special Audits

特别情况下，可能需要安排特殊审核，例如认证范围扩大、认证范围缩小、不符合项改善情况的现场验证、获证组织的顾客特殊状态、获证组织的显著变更等。这些审核不包含在例行审核的报价中。

Under special circumstances, special audits may be required, such as expansion or reduction of the certification scope, on-site verification of improvements to non-conformities, special customer conditions of certified organizations, or significant changes to the certified organization. Such audits are not included in the quotations for regular audits.

3. 客户的权利及义务 Rights and Obligations of Client

3.2. 开放信息 Access to Information

3.2.1 针对中国大陆的场地，提出ISO 9001认证申请时，认证委托人应具备以下条件：

- ✓ 取得有效的合法主体资格和相关法律法规规定的行政许可（适用时）；
- ✓ 在有营业执照的情况下QMS 运行满三个月；
- ✓ 在过去一年内未因自身原因而被发证机构暂停、撤销或注销认证证书；
- ✓ 在过去三个月内原QMS 认证证书发证机构未被国家认监委撤销QMS 认证资质（适用时）；
- ✓ 当前未被行政监管部门责令停产停业整顿；
- ✓ 当前未列入“国家企业信用信息公示系统”和“信用中国”发布的严重违法失信名单；
- ✓ 一年内未发生被行政监管部门责令停产停业整顿的重大质量事故；
- ✓ 一年内发生的产品质量国家监督抽查不合格已按规定整改合格（适用时）。

When applying for ISO 9001 certification for locations in Mainland China, the Client shall meet below conditions:

- ✓ the Client has valid business registration and any applicable permits,
- ✓ the Client QMS has been implemented for 3 months with a valid business registration,
- ✓ the Client's certificate was not suspended, withdrawn or cancellation by a certification body, due to a reason of the Client, in the previous 12 months,
- ✓ the Client's original ISO 9001 CB was not withdrawn by CNCA in the previous 3 months,
- ✓ the Client is not in production suspension as ordered by the authorities,
- ✓ the Client is not listed as a seriously illegal or untrusted organization by the authorities,
- ✓ the Client was not ordered to suspend production due to a quality incident in the previous 12 months, and
- ✓ the Client has been accepted for its improvement after a non-conformity from product quality sampling inspections by national authorities in the previous 12 months, when applicable.

3.3. 变更通知义务和特殊事件 Notification of Changes and Special Incidents

3.3.1 客户需要在7天内通知认证机构的特殊事件包括：

- ✓ 认证范围中包含被列入中国发改委目录中的淘汰产品，工艺，设备；
- ✓ 生产或经营需要特种许可证的情况；
- ✓ 出现产品、质量安全、生产安全、环境污染等重大事故；
- ✓ 出现后述需要暂停或撤销认证证书的情形。

The Client shall notify the certification body of the following special events within 7 days:

- ✓ The certification scope includes products, processes, and equipment listed in the catalogue of the National Development and Reform Commission of China as obsolete,
- ✓ Situations requiring special licenses for production or operation,
- ✓ Major accidents involving products, quality and safety, production safety, or environmental pollution,
- ✓ Situations requiring suspension or revocation of the certification certificate as described below.

3.10 联络信息 Contact Information

客户可以通过以下方式，向 DQS AP 进行申诉和（或）投诉：

Customers may file appeals and/or complaints with DQS AP through the following methods:

- ✓ 部门 / Dept: 合规管理部 / Compliance Management Department
- ✓ 电话 / Tel: 021-6289 5083 / 6286 5383
- ✓ 邮箱 / Email: info.china@dqs.de

4. DQS的权利和义务 Rights and Obligations of DQS

4.2. 认可与授权 Accreditation and Authorization

4.2.1 认可与授权

由认可机构参与的确认审核，是认可机构对认证机构监督活动的一种方式。DQS及其认证客户应配合认可机构的审核员或工作人员完成其监督活动。认可机构通过直接对获证组织管理体系运行及受审核过程进行现场验证，评价认证机构认证审核活动的符合性及有效性。

Witness Audits by accreditation bodies is an approach used by accreditation bodies to monitor the certification bodies. DQS and its certification clients shall cooperate with the auditors or staff of the accreditation bodies in completing their surveillance activities. The accreditation bodies evaluate the conformity and effectiveness of the certification audit activities by direct on-site monitoring of the operation of the certified organizations' management systems and the audited processes.

4.9 责任 Liability

DQS对由于故意或疏忽造成的损失承担责任，这也适用于其代理和辅助人员。因此，DQS AP做了风险金的储备。

DQS is liable for losses caused by intentional or negligent acts, and this also applies to its agents and assistants. Therefore, DQS AP maintains a risk reserve.

4.10 变更通知义务 Obligation to Notify of Changes

DQS AP 可能通过网站、邮件或审核前通知等方式将认证要求及其他重大变更通知受影响的获证客户。

DQS AP may notify affected certified customers of certification requirements and other significant changes via website, email, or pre-audit notification.

5.3 证书的暂停、撤销和废止 Suspension, Withdrawal and Annulment of a Certificate

5.3.1 暂停 Suspension

5.3.1.1 DQS AP会暂停相关认证证书的情形还包括

- ✓ 在行政机关监督检查中客户被发现不符合法定要求产品的情况；
- ✓ 客户出现的产品质量安全、生产安全、环境污染等事故；或
- ✓ 至少一次书面通知后，14个日历日内客户仍未付清审核或认证服务费。

DQS AP may suspend relevant certification certificates in the following circumstances:

- ✓ When a customer's products are found to be non-compliant with legal requirements during an administrative inspection;
- ✓ When a customer is involved in product quality and safety, production safety, or environmental pollution incidents; or
- ✓ When a customer fails to pay the audit or certification service fee within 14 calendar days after at least one written notice.

5.3.1.2 针对中国大陆的场地的ISO 9001认证，会触发证书暂停的客户情形还包括以下任何一种：

- ✓ QMS 持续或严重不满足认证要求的，包括QMS 文件与实际业务运作严重脱离；
- ✓ 不满足QMS 适用的法律法规要求，且未采取有效纠正措施的；
- ✓ 受到与质量相关的行政处罚，且尚未完成整改的；
- ✓ 发生重大质量事故，反映获证组织QMS 运行存在重大缺陷的；
- ✓ 拒绝配合市场监管部门的认证执法检查监督检查，或者提供虚假材料或信息的；
- ✓ 持有的与QMS 范围有关的行政许可文件、资质证书、强制性认证证书等过期失效的；
- ✓ 不能按照规定的时间间隔接受监督审核的；
- ✓ 未按相关规定正确引用和宣传获得的认证证书和有关信息，包括认证证书和认证标志的使用；
- ✓ 不承担、履行认证合同约定的责任和义务的；
- ✓ 被有关行政监管部门责令停业整顿的；
- ✓ 发生与质量相关重大舆情的；
- ✓ 主动请求暂停的；
- ✓ 其他应暂停认证证书的。

暂停期限最长不得超过6 个月。

For ISO 9001 certification of sites in mainland China, any of the following situations may trigger certificate suspension:

- ✓ QMS persistently or seriously fails to meet certification requirements, including serious disconnection between QMS documents and actual business operations;
- ✓ Failing to meet QMS related regulations and failing to take effective corrective actions;
- ✓ Receiving administrative penalties related to quality and not completing rectification;
- ✓ Major quality accidents occur, reflecting major defects in the QMS;
- ✓ Refusing to cooperate with the market supervision department's certification inspections, or providing false information;
- ✓ Expiration of administrative licenses, qualification certificates, or compulsory certification certificates related to the scope of QMS;
- ✓ Absence of surveillance audits within required intervals.
- ✓ Improper use of certificates, certification marks or relevant information;
- ✓ Failing to follow the requirements in certification contract;
- ✓ Ordered by the authorities to suspend its operation;
- ✓ Major negative public opinion associated with its quality issue;
- ✓ Requesting for certificate suspension by the Client;
- ✓ Other situations that shall lead to certificate suspension.

The suspension period shall not exceed 6 months.

5.3.2 撤销 Withdrawal

5.3.2.1 没有合理理由的情况下，客户不能拒绝相关认可机构的见证审核要求，否则可能会导致认证证书的撤销。

Without a reasonable justification, a client may not refuse the witness audit request from the relevant accreditation body, otherwise it may result in the withdrawal of the certification certificates.

5.3.2.2 针对中国大陆的场地的ISO 9001认证，会触发证书撤销的客户情形还包括以下任何一种：

- ✓ 被注销或撤销法律地位证明文件的；
- ✓ 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；
- ✓ 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；
- ✓ 经行政监管部门确认因获证组织违规而造成产品和服务等重大质量安全事故的；
- ✓ QMS 没有运行或者已不具备运行条件的；
- ✓ 其他应撤销认证证书的情形。

For ISO 9001 certification of sites in mainland China, the following situations could also trigger certificate withdrawal:

- ✓ Business Registration has been cancelled or revoked;
- ✓ Being listed as an untrustworthy organization with serious legal violation by National Enterprise Credit Information Publicity System or Credit China;
- ✓ The certificate suspension period has expired, but the cause has not been resolved or effectively corrected;
- ✓ Major quality safety accident is confirmed by the authorities due to legal violation;
- ✓ QMS is not running or no longer meet the conditions for operation;
- ✓ Other situations that shall lead to certificate withdrawal.

6. 其他规定 Miscellaneous

6.7 中国的认证规则 Certification Rules in China

在中国大陆地区实施的认证审核活动，还需遵守由中国政府监管部门发布的认证规则，如《质量管理体系认证规则》、《食品安全管理体系认证实施规则》、《危害分析与关键控制点（HACCP）体系认证实施规则》、《能源管理体系认证规则》、《信息技术服务管理体系认证实施规则》等。

客户可以从相关政府部门的官网下载相应规则，DQS网站也可能提供部分相关资料作为参考。

Certification audits for locations in Mainland China must also comply with certification rules issued by the Chinese authorities, such as the "Quality Management System Certification Rules," "Food Safety Management System Certification Implementation Rules," "Hazard Analysis and Critical Control Point (HACCP) System Certification Implementation Rules," "Energy Management System Certification Rules," and "Information Technology Service Management System Certification Implementation Rules."

Clients can download the relevant rules from the official websites of the relevant government departments, and the DQS website may also provide some related materials for reference.

6.8 带CNAS认可的认证 Certifications with CNAS Accreditation

申请带CNAS认可标志认证证书的客户，还须遵守CNAS对认证活动的特有要求，如确认审核的要求。确认审核的规定适用于申请带CNAS认可标志认证证书的项目。

a) 确认审核的实施对象及选择原则

确认审核的对象是认证机构，确认审核的现场验证对象是获证组织。

b) 选择范围

- ✓ 认证机构已获得CNAS管理体系认证认可资格，且为有效状态；
- ✓ 同时根据年度及监督审核重点，确定实施确认审核的认证机构及获证组织。

c) 确认审核的实施

- ✓ 通常情况下，CNAS在确认审核前最短时间内通知被验证的获证组织和认证机构。
- ✓ CNAS 组成确认审核评审组，对获证组织进行现场验证。确认审核组至少由2名CNAS评审员组成，必要时配备技术专家，通常现场验证为1-2人日。
- ✓ 对获证组织管理体系运行及认证机构认证过程的重要活动进行抽样，并依据认可规范的要求进行验证，评价认证机构认证审核活动的符合性及有效性。

d) 确认审核发现问题的处理

- ✓ 现场验证发现的问题，CNAS确认审核组将出具《确认审核现场验证问题清单》，请获证组织予以确认；
- ✓ 构成认证机构不符合的，请认证机构确认。
- ✓ 针对审核发现的不符合，认证机构应在1个月内完成纠正与预防措施，并向确认审核组提交相应的证明材料，经

确认审核组验证后关闭不符合。

e) 确认审核的结论

- ✓ 确认审核过程中未发现问题，CNAS将做出通过确认审核的结论。
- ✓ 确认审核过程中发现的问题不影响认可资格的，在认证机构的纠正措施满足后，CNAS将做出通过确认审核的结论。
- ✓ 确认审核过程中发现认证机构存在严重问题涉及影响认可资格的，依据CNAS-RC02《认证机构认可资格处理规则》处置。

Clients applying for certification with the CNAS accreditation must also comply with CNAS' specific requirements for certification activities, such as the confirmation audit requirements. The confirmation audit requirements apply to projects applying for certification with the CNAS accreditation mark.

a) Confirmation of Audit Targets and Selection Principles

The audit target is the certification body, and the on-site verification target is the certified organization.

b) Scope of Selection

- ✓ The certification body has obtained CNAS management system accreditation and its status is valid.
- ✓ Based on the annual and surveillance audit focus, the certification body and certified organization to conduct the confirmation audit are determined.

c) Implementation of the Confirmation Audit

- ✓ Normally, CNAS will notify the certified organization and certification body to be verified as soon as possible before the confirmation audit.
- ✓ CNAS will form a confirmation audit review team to conduct on-site verification of the certified organization. The confirmation audit team consists of at least two CNAS reviewers, and technical experts may be added if necessary. On-site verification typically takes 1-2 person-days.
- ✓ Sampling is conducted on key activities of the certified organization's management system operation and the certification process of the certification body, and verification is performed according to the requirements of the accreditation standards to evaluate the conformity and effectiveness of the certification body's certification audit activities.

d) Handling of Issues Identified During the Confirmation Audit

- ✓ For issues identified during on-site verification, the CNAS confirmation audit team will issue a "List of Issues for On-site Verification Audit," which the certified organization is required to confirm.
- ✓ If the issues constitute non-compliance by the certification body, the certification body must confirm them.
- ✓ For any non-compliance identified during the audit, the certification body should complete corrective and preventative measures within one month and submit relevant supporting documentation to the confirmation audit team. The non-compliance will be closed after verification by the confirmation audit team.

e) Confirmation Audit Conclusion

- ✓ If no issues are found during the confirmation audit, CNAS will conclude that the audit has passed.
- ✓ If issues found during the confirmation audit do not affect accreditation status, CNAS will conclude that the audit has passed after the certification body's corrective actions are satisfactory.
- ✓ If serious issues affecting accreditation status are found during the confirmation audit, they will be handled in accordance with CNAS-RC02 "Rules for Handling Accreditation Status of Certification Bodies".

7. 争议 Disputes

特别约定，因本规则引起或与本规则有关的一切争议均适用中国大陆的法律。仲裁或其它法律程序应在上海用中文进行。

It's agreed all disputes arising out or in connection with these regulations shall be governed by the laws of Mainland China. The arbitration or other legal processes shall take place in Shanghai in Chinese.

文件结束

End of Document