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 used by being put into the associated cluases in DQS Audit and Certification Regulations.

1.1.2 在本文中，ISO 9001认证的要求也适用于GB/T 19001认证。

In this document, the requirements for ISO 9001 certifications also apply to certifications against GB/T 19001.

1.2 术语阐释 Definition of terms

- QMS (质量管理体系) 在本文中是基于一个包含 ISO 9001 或 GB/T 19001的标准的管理体系。
  QMS in this document stands for a management system based on a standard covering ISO 9001 or GB/T 19001.
- EMS (环境管理体系) 在本文中是指基于一个包含 ISO 14001 或 GB/T 24001标准的管理体系。
  EMS in this document stands for a management system based on a standard covering ISO 14001 or GB/T 24001.
- OHSMS (职业健康和安全管理体系) 在本文中是基于一个包含 ISO 45001 或 GB/T 45001的标准的管理体系。OHSMS in this document stands for a management system based on a standard covering ISO 45001 or GB/T 45001.
- EnMS (能源管理管理体系) 在本文中是基于一个包含 ISO 50001 或 GB/T 23331的标准的管理体系。
- EnMS in this document stands for a management system based on a standard covering ISO 50001 or GB/T 23331.
- ISMS (信息安全管理体系) 在本文中是基于一个包含 ISO 27001 或 GB/T 22080的标准的管理体系。
  ISMS in this document stands for a management system based on a standard covering ISO 27001 or GB/T GB/T 22080.
- FSMS (食品安全管理体系) 在本文中是基于一个包含 ISO 22000 或 GB/T 22000的标准的管理体系。
  FSMS in this document stands for a management system based on a standard covering ISO 22000 or GB/T 22000.
- HACCP在本文中是食品及食品相关行业危害分析与关键控制点体系。
  HACCP stands for Hazard Analysis Critical Control Point system for food or food related related industries.
- CNCA在本文中是国家认证监督委员会。
  CNCA in this document stands for Certification and Accreditation Administration of China.

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 receipient, will recognize that this document is officially signed by the counterparty.

For a particular document, a party may request the counterparty to proivde 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，提出管理体系初次认证、再认证、监督审核、或认证转移申请时，客户应具备以下条件：

- ✓ 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和资质（适用时）；
- ✓ 在有营业执照和适用的行政许可的情况下相关管理体系运行满3 (EnMS, IRIS 轨道交通质量管理体系、或高风险医疗器械的ISO 13485认证是6) 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；
- ✓ 三年内未因食品安全事故、违反国家食品安全管理相关法规、或虚报/瞒报获证所需信息，而被认证机构撤销认证证书 (适用于 FSMS 和 HACCP)；
- ✓ 生产、加工及经营的食品或提供的服务符合中国和进口国/地区的相关法律、法规、标准和规范的要求 (适用于 FSMS 和 HACCP)；
- ✓ 在过去三个月内原认证证书发证机构未被CNCA撤销相应体系标准的认证资质；
- ✓ 当前未被行政监管部门责令停产停业整顿；
- ✓ 当前未被列入“国家企业信用信息公示系统”或“信用中国”发布的严重违法失信名单；
- ✓ 当前未列入国家信用信息严重失信主体相关名录 (适用于 HACCP)；
- ✓ 当前未被应急管理部门列入安全生产严重失信主体名单（适用于OHSMS）；
- ✓ 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 (适用于ISO 9001)，
  - 被行政监管部门责令停产停业整顿的突发环境事故 (适用于EMS)，
  - 重大生产安全事故（参照《生产安全事故报告和调查处理条例》，适用于OHSMS)，
  - 重大及以上级别的网络安全事件（参照GB/T 20986，适用于ISMS)，
  - 违反相关法律法规的食品安全事故 (适用于 FSMS 和 HACCP)；
- ✓ 一年内发生的产品质量国家监督抽查不合格，如有，已按规定整改合格（适用于ISO 9001）；
- ✓ 拟认证的OHSMS 范围所覆盖的活动符合相关OHS法律法规要求，不存在故意的和持续的违法行为（适用于OHSMS)；
- ✓ 一年内发生的与该管理体系相关的重大事故、行政检查不合格、行政处罚、被勒令停业整顿、和司法调查，如有，已按规定完成整改（适用于未在本条款特别列出的其他标准）。

When applying for management system Initial Certification, Recertification, Surveillance Audit, or Certification Transfer for a location in Mainland China, the client shall meet below conditions:

- ✓ the client has valid business registration and any applicable permits and qualifications,
- ✓ the client’s associated management system has been implemented for 3 (6 instead for EnMS, IRIS, or ISO 13485 certification for medical devices of high risk) months with a valid business registration and applicable permits,
- ✓ the client’s certificate was not suspended, withdrawn or cancelled by a CB, due to a reason of the client, in the previous 12 months,
- ✓ the client’s certificate was not suspended, withdrawn or cancelled by a CB in the previous 36 months, due to food safety incidents, violations of relevant regulations, or falsification / concealment of information required for certification (applicable to FSMS and HACCP),
- ✓ The food produced, processed, and sold or the services provided comply with the relevant laws, regulations, standards, and specifications of China and the importing country/region (applicable to FSMS and HACCP);
- ✓ the client’s original 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 an untrusted entity in National Enterprise Credit Information Publicity System or Credit China，
- ✓ the client is not listed as a seriously untrusted entity in a national credit information platform (applicable to HACCP),
- ✓ the client is not listed as an untrusted entity of safety production by Emergency Management Authority (applicable to OHSMS),
- ✓ in the previous 12 months, the client
  - was not ordered to suspend production due to a quality incident (applicable to ISO 9001),
  - was not ordered to suspend production due to a sudden environmental accident (applicable to EMS),
  - had no major production safety accidents (refer to the "Regulations on Reporting and Handling Production Safety Accidents", applicable to OHSMS),

  - had no major or higher-level cybersecurity incident (refer to GB/T 20986, applicable to ISMS),
  - had no major food safety accidents with violation to relevant laws or regulations (applicable to FSMS and HACCP),
- ✓ the client has been accepted for its improvement after a NC, if any, form product quality sampling inspections by national authorities in the previous 12 months (applicable to ISO 9001),
- ✓ the activities covered by the proposed OHSMS certification scope comply with relevant OHS relevant laws and regulations, without intentional or ongoing violations (applicable to OHSMS),
- ✓ Rectification has been completed for any major incidents, administrative inspection failures, administrative penalties, orders to suspend operations, and judicial investigations related to this management system in previous12 months. (applicable to other standards not specifically listed above in this clause).

3.2.2 针对中国大陆的场地的审核，客户允许并事先确保其相关员工允许 DQS 对首、末次会议和最高管理者审核进行拍照作为证据，并存放于 DQS 及其服务商的位于中国境内外的服务器，供 DQS 的内、外部监管方进行查证。

For an audit to a location in Mainland China, the client allows and shall ensure in advance that its associated employees allow DQS to take photos as evidence for Opening Meeting, Closing Meeting and the audit of Top Management, which will be saved at the servers of DQS and its service providers in and out of China, for verifications by DQS' internal and external supervising parties.

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、或设备；
- ✓ 认证范围内某一场地的法律实体注册文件、适用的许可证或资质的缺失；
- ✓ 食品安全管理体系和过程重大变更，包括但不限于管理层重要人员、产品、工艺、及环境的变化；(适用于 FSMS 和 HACCP)
- ✓ 食品安全事故及食品安全投诉；(适用于 FSMS 和 HACCP)
- ✓ 所在区域内发生的有关重大动、植物疫情；(适用于 FSMS 和 HACCP)
- ✓ 政府部门的市场抽查中被发现的食品安全问题或食品安全生产规范体系检查中被发现的不符合；(适用于 FSMS 和 HACCP)
- ✓ 因安全卫生方面的问题被进口国/地区主管当局发出的通报 (适用于 FSMS 和 HACCP)；
- ✓ 不合格品召回/撤回及相关处理的信息；(适用于 FSMS 和 HACCP) 或
- ✓ 出现后述会导致认证证书暂停或撤销的情形。

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

- ✓ the certification scope includes products, processes, or equipment listed as phased-out items in the catalogue of National Development and Reform Commission of China,
- ✓ the absence of official registration document, applicalbe permit or qualification for a location within certification scope,
- ✓ the significant changes to the food safety management system and processes, including but not limited to: changes in key management personnel, products, processes, and environment; (applicable to FSMS and HACCP)
- ✓ the food safety incidents and complaints; (applicable to FSMS and HACCP)
- ✓ the major animal or plant epidemics occurring in the region; (applicable to FSMS and HACCP)
- ✓ the non-compliance in inspections of products or food safety production standard management system by the authorities; (applicable to FSMS and HACCP)
- ✓ Notifications issued by the authorities of the importing country/region due to safety or hygiene issues; (applicable to FSMS and HACCP)
- ✓ the recalls/returns and the associated handling of non-conforming products; (applicable to FSMS and HACCP) or
- ✓ a situation leading to suspension or withdrawal of certification certificate as described below.

3.10 客户应确保其在认证范围内的每个运营场所按照当地法规要求取得和维持有效的营业执照或官方备案。

The client shall ensure that each operational location in certification scope is covered by a valid business registration or official record as required by local regulations.

3.11 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

由认可机构参与的见证/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.

4.4 审核安排 Scheduling of Audits

4.4.1 针对中国大陆场地的管理体系认证，除非另文规定，除了各自的认可要求外，监督和再认证审核的间隔还需要符合以下要求：

- ✓ 初次认证和再认证后，第一次监督审核应在认证证书签发之日起12个月内进行；
- ✓ 第二次监督审核应在证书颁发日期起24个月内而且在第一次监督审核后的12个月内开始；
- ✓ 在认证周期内的每个日历年至少有一次监督审核或再认证审核;
- ✓ 除非另文约定，再认证审核与最近一次监督审核的间隔应在15个月内，而且
- ✓ 根据DQS的技术团队的判断，可能需要安排额外的突击监督审核，以调查投诉、重大事件、重大变更或发现的管理体系与实际运行脱节的风险。

注：作为例外，

- IATF 16949和静电管理体系认证跟从各自的认可要求来安排监督和再认证审核的间隔；
- FSMS和HACCP认证跟从CNCA发布的对应的认证规则及其相关认可要求来安排监督和再认证审核的间隔。

For an management system certification to a location in Mainland China, in addition to their associated accreditation requirements, the intervals of surveillance audits and recertification audits shall also follow below requirements unless otherwise specified：

- ✓ the first surveillance audit after initial certification and recertification shall be conducted within 12 months from the certificate issuance date,
- ✓ the second Surveillance Audit shall start within 24 months from certificate issuance date and within 12 months after the 1st Surveillance Audit,
- ✓ there shall be at least one surveillance audit or recertification audit in each calendar year within the certification cycle,
- ✓ unless otherwise specified in document, the interval between recertification audit and the previous surveillance audit shall be within 15 months, and
- ✓ additional unannounced surveillance audits may be required as judged by DQS' technical team, for investigation of complaints, major incidents, significant changes, or a detected risk of a disconnection between management system and actual operation.

Note: As exceptions,

- IATF 16949 and ESD S20.20 certifications follow their respective accreditation requirements for the intervals of surveillance and recertification audits; and
- FSMS and HACCP certifications follow the corresponding certification rules issued by CNCA and related accreditation requirements for the intervals of surveillance and recertification audits.

4.9 责任 Liability

4.9.1 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购买责任保险和/或做风险金的储备。

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

4.9.2 如果 DQS AP 终止提供某一认证服务，DQS AP 将尽可能提供技术支持，协助客户将该认证转移到其他认证机构。

If a certification service of DQS AP is ceased, DQS AP will provide technical supports, to the extent possible, to help the client transfer the certification to another Certification Body.

4.9.3 如果客户不配合认证规则或合同条款的实施，可能会导致审核策划更改、审核停止、证书暂停或撤销，客户仍需要支付该认证或审核相关的既定服务费。

If the client does not cooperate with the implementation of the certification rules or contract terms, it may result in changes to audit planning, cease of audit, suspension or withdrawal of certificates. The client will still be liable to pay the established service fees related to the certification or audit.

4.9.4 当监管机构或认可机构要求DQS提供认证或审核相关记录时，客户同意DQS可以按要求提供这些记录。

When the authorities or accreditation bodies request DQS to provide the certification or audit related records, the Client agrees that DQS can provide them as requested.

4.9.5 审核是基于对可获得信息的抽样过程，而且审核小组的技术能力、经验和时间也有限，因此一次审核无法发现所有可能存在的问题，每次审核的发现也可能存在偶然性。

Audits are based on a sampling process of available information, and the audit teams' technical capabilities, experience, and time are limited. Therefore, an audit cannot uncover all potential problems, and the findings from an audit may also be accidental.

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:

- ✓ 在行政机关监督抽查中客户被发现不符合法定要求产品的情况；
- ✓ 客户出现与获证体系相关的重大事故；
- ✓ 至少一次书面通知后，14个日历日内客户仍未付清认证相关服务费；或
- ✓ 客户主动请求暂停的。

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

- ✓ The client's product is found non-compliant with legal requirements during an administrative inspection;
- ✓ A serious incident associated with the certification is caused by the client;
- ✓ The client fails to pay certification related service fee within 14 calendar days after at least one written notice；or
- ✓ The cllient requests certification suspension.

5.3.1.2 针对中国大陆的场地的管理体系认证，会触发证书暂停的客户情形还包括以下其中任何一种：

- ✓ 管理体系持续或严重不符合认证要求，包括体系文件与实际经营严重脱节;
- ✓ 不符合获证体系相关法规要求，且未采取有效纠正措施;
- ✓ 受到与获证体系相关的行政处罚，且未完成整改;
- ✓ 发生与获证体系相关的重大事故，反映体系重大缺陷;
- ✓ 发生重大质量事故，反映体系重大缺陷;（适用于 ISO 9001）
- ✓ 发生《国家突发环境事件应急预案》中所列的突发环境事件；（适用于 EMS）
- ✓ 发生较大生产安全事故，反映体系重大缺陷；（适用于 OHSMS）
- ✓ 发生重大或以上级别网络安全事件 (依据GB/T 20986)，反映体系重大缺陷；(适用于 ISMS)
- ✓ 发生食品安全事故、市场监督管理部门监督抽查产品或食品安全生产规范体系检查不合格等情况，尚不需立即撤销认证证书的；(适用于 FSMS 和 HACCP)
- ✓ 食品安全管理体系或相关产品不符合认证依据或执行标准，不需要立即撤销认证证书的；(适用于 FSMS 和 HACCP)
- ✓ 未按要求对信息进行通报的；(适用于 FSMS 和 HACCP)

- ✓ 拒绝配合市场监管部门的认证监督检查，或提供虚假信息;
- ✓ 与获证体系认证范围相关的行政许可证、资质证书或强制性认证证书已过期;
- ✓ 未能按照规定的时间间隔接受监督或再认证审核；
- ✓ 无正当理由连续两次不接受不通知现场审核；(适用于 HACCP)
- ✓ 不当使用证书、认证标志或相关信息;
- ✓ 目前被主管部门责令停业整顿;
- ✓ 发生与获证体系相关的重大负面舆情;
- ✓ 监督审核发现的严重不符合的纠正措施未能在 3 个月内完成验证的；
- ✓ 不承担、履行认证合同约定的责任和义务；
- ✓ 其他应暂停认证证书的。

暂停期限最长不得超过6 个月。

For mangement system certifications to locations in Mainland China, the situations triggering certificate suspension also include any one of the following:

- ✓ Management system persistently or seriously fails to meet certification requirements, including serious disconnection between system documents and actual operation.
- ✓ Failing to comply with legal requirements related to certified management systems and effective corrective actions are not taken.
- ✓ Receiving administrative penalties related to certified management systems and rectification is not completed.
- ✓ A relevant major incident has occurred, reflecting a major deficiency in system.
- ✓ A major quality incident has occurred, reflecting a major deficiency in system. (applicable to ISO 9001)
- ✓ A sudden environmental incident as listed in "National Emergency Plan for Sudden Environmental Events" has occurred. (applicable to EMS)
- ✓ A significant or higher-level production safety incident has occurred, indicating a significant deficiency in system. (applicable to OHSMS)
- ✓ A major or higher-level cybersecurity incident (as determined against GB/T 20986) has occurred, indicating a significant deficiency in system. (applicable to ISMS)
- ✓ In cases of food safety incidents, or non-compliance in inspections of products or food safety production standard management system by the authorities, but immediate withdrawal of certificate is not necessary; (applicable to FSMS and HACCP)
- ✓ The food safety management system or related products do not meet the certification criteria or implementation standards, but immediate withdrawal of certificate is not necessary; (applicable to FSMS and HACCP)
- ✓ The information was not reported as required; (applicable to FSMS and HACCP)
- ✓ Refusing to cooperate with the authorities on certification inspections, or providing false information.
- ✓ Expiration of administrative permits, qualification certificates, or compulsory certification certificates related to certification scope.
- ✓ Absence of surveillance or recertification audits at the required intervals.
- ✓ Rejections of unannounced audits twice consecutively without a valid reason. (Applicable to HACCP)
- ✓ Improper use of certificates, certification marks or relevant information.
- ✓ Currently being requestd by the authorities to cease operations for rectification.
- ✓ Major negative public opinion associated with its certification.
- ✓ Corrective actions for a major NC from a surveillance audit is not verified within 3 months.
- ✓ Failure to fulfill responsibilities and obligations specified in certification contract.
- ✓ 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或监管机构对认证活动的见证审核或检查要求，否则可能会导致认证证书的撤销。

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

5.3.2.2 如果客户被发现在审核或认证过程中实施了贿赂审核员或威胁其人身安全等影响公正性的行为，DQS AP 按情节的严重性可能会判断审核无效、暂停或撤销相关认证证书，而且不免除相关服务费用。

If a client is found to have engaged in conduct that compromises impartiality, such as bribing auditors or threatening their personal safety, during the audit or certification process, DQS AP may make the audit invalid, suspend or withdraw the relevant certification certificates, depending on the severity of the offense, and will not waive the relevant service fees.

5.3.2.3 针对中国大陆的场地的管理体系认证，会触发证书撤销的客户情形还包括以下其中任何一种：

- ✓ 营业执照或其它类似功能的组织登记文件已被注销或吊销;
- ✓ 被“国家企业信用信息公示系统”或 “信用中国” 平台列入失信主体名单;
- ✓ 被 应急管理部门 列入安全生产严重失信主体名单（适用于 OHSMS）;
- ✓ 证书暂停期限届满，但导致暂停的原因未解决或未完成有效纠正;
- ✓ 发生经主管部门确认的因客户违反法律法规而造成的与获证体系相关的重大事故;
- ✓ 发生经主管部门确认的因客户违法行为而造成的重大质量安全事故; （适用于 ISO 9001）
- ✓ 发生经生态环境主管部门确认的因客户违规而造成的突发环境事件; （适用于 EMS）
- ✓ 发生重大安全事故的; （适用于 OHSMS）
- ✓ 发生经监管部门确认因客户违规而造成重大或以上级别网络安全事件;（适用于 ISMS）
- ✓ 发生食品安全事故、市场监督管理部门监督抽查产品或食品安全生产规范体系检查不合格等情况，需立即撤销认证证书的;(适用于 FSMS 和 HACCP)
- ✓ 食品安全管理体系或相关产品不符合认证依据或执行标准，需要立即撤销认证证书的;(适用于 FSMS 和 HACCP)
- ✓ 不再生产获证范围内产品的或不再提供获证范围内服务;(适用于 FSMS 和 HACCP)
- ✓ 对相关方重大投诉未能采取有效处理措施;(适用于 FSMS 和 HACCP)
- ✓ 虚报、瞒报获证所需信息;(适用于 FSMS 和 HACCP)
- ✓ 故意或持续的不满足国家食品安全管理相关法律法规;(适用于 FSMS 和 HACCP)
- ✓ 拒不接受相关监管部门或认证机构对其实施监督;(适用于 FSMS 和 HACCP)
- ✓ 被执法监管部门认定存在严重违法失信行为;(适用于 FSMS 和 HACCP)
- ✓ 管理体系已停止运行，或不再满足运行条件;
- ✓ 其他依法应触发证书撤销的情形。

For management sysetm certifications to locations in mainland China, the following situations of the client could also trigger certificate withdrawal:

- ✓ Business registration or similar official registration document has been cancelled or revoked.
- ✓ Listed as an untrusted entity in "National Enterprise Credit Information Publicity System" or "Credit China".
- ✓ Listed as an untrusted entity by Emergency Management Authority. (applicable to OHSMS)
- ✓ The certificate suspension period has expired, but the cause has not been resolved or effectively corrected.
- ✓ A relevant major incident has occurred, due to legal or rule violation as confirmed by the authorities.
- ✓ A major quality safety incident due to illegal activities as confirmed by the authorities. (applicable to ISO 9001)
- ✓ A sudden environmental incident due to rule violation as confirmed by the authorities. (applicable to EMS)
- ✓ A major safety accident has occurred. (applicable to OHSMS)
- ✓ A major or higher-level cybersecurity incident due to rule violation as confirmed by the authorities. (applicable to ISMS)
- ✓ In cases of food safety incidents, or non-compliance in inspections of products or food safety production standard management system by the authorities, and immediate withdrawal of certificate is deemed necessary; (applicable to FSMS and HACCP)
- ✓ The food safety management system or related products do not meet the certification criteria or implementation standard, and immediate withdrawal of certificate is deemed necessary; (applicable to FSMS and HACCP)
- ✓ Ceased production of products or supply of service in scope; (applicable to FSMS and HACCP)
- ✓ Absence of effective measures to address significant complaints from relevant parties; (applicable to FSMS and HACCP)
- ✓ Provision of false information or concealment of information required for certification; (applicable to FSMS and HACCP)
- ✓ Intentionally or persistently failuire to meet relevant national food safety management related laws or regulations; (applicable to FSMS and HACCP)
- ✓ Rejection of supervision by the authorities or certification body; (applicable to FSMS and HACCP)

- ✓ Identified by the authorities as commitment of serious illegal or dishonest activities; (applicable to FSMS and HACCP)
- ✓ The management system has been ceased operation or no longer met operational conditions.
- ✓ Other circumstances prescribed by law that should trigger revocation of the certificate.

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活动，需遵守由中国政府监管部门发布的认证规则，包括《质量管理体系认证规则》、《环境管理体系认证规则》、《职业健康安全管理体系认证规则》、《能源管理体系认证规则》、《信息安全管理体系认证规则》、《食品安全管理体系认证实施规则》、和《危害分析与关键控制点（HACCP）体系认证实施规则》等、以及DQS在监管要求的基础上制定的认证规则。

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

Certification activities for locations in Mainland China must also comply with certification rules issued by the Chinese authorities, including Quality Management System Certification Rules, Environmental Management System Certification Rules, Occupational Health and Safety Management System Certification Rules, Energy Management System Certification Rules, Information Security Management System Certification Rules, Food Safety Management System Certification Implementation Rules, and Hazard Analysis and Critical Control Point (HACCP) System Certification Implementation Rules, etc, as well as the certification rules established by DQS on the basis of the regulating requirements.

Clients can download the relevant rules from the official websites of the relevant government departments or inquire about them with DQS AP. 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