挪亚检测认证集团有限公司

Noa Testing & Certification Group Ltd.

疫情防控期间认证实施规则

Implementation rules for certification during epidemic prevention and control

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为彻底贯彻落实党中央、国务院、国家市场监督管理总局关于新型冠状病毒感染肺炎疫情防控工作的重大决策部署，坚决打赢疫情防控阻击战，同时也为了规范我机构在疫情防控期间的认证活动（管理体系、产品认证、服务认证），提高认证有效性，确保疫情防控期间我机构的认证业务能平稳有序的开展，继续为申请组织和获证组织在疫情防控期间提供优质服务，根据《认证认可条例》、《认证机构管理办法》、IAF ID3:2011《影响认可机构、合格评定机构和获证组织的突发事件或情况的管理》、CNAS-CC14:2019《信息和通信技术（ICT）在审核中应用》等法规规章的相关规定，我机构制定了《疫情防控期间管理体系认证实施规则》（以下简称《规则》），现予以公布，并就有关事项公告如下：

In order to thoroughly implement the major decisions and arrangements of the CPC Central Committee, the State Council and the State Administration of market supervision on New Coronavirus's infection and prevention and control of pneumonia, we must resolutely win the epidemic prevention and control, and at the same time, in order to standardize our organization's certification system in the period of epidemic prevention and control, and improve the effectiveness of certification. Ensure that the certification

business of our institution can be carried out smoothly and orderly during the epidemic prevention and control period, and continue to provide high-quality services for the applicant organization and certified organization during the epidemic prevention and control period. According to the regulations on certification and accreditation, the measures for the administration of certification institutions, and IAF ID3:2011 “the management of emergencies or situations affecting accreditation institutions, conformity assessment institutions and certified organizations” CNAS-CC14:2019 “The use of information and communication technology (ICT) for auditing purpose, our organization has formulated the implementation rules for management system certification during epidemic prevention and control ”, which is hereby published, and the relevant matters are announced as follows:

1 适用范围 Scope

自 2020 年 2 月 16 日起至疫情防控解除期间,我机构开展的管理体系、产品认证、服务认证相关的认证活动，均应遵守本《规则》的规定。

During the period from February 16, 2020 to the elimination of epidemic prevention and control, the certification activities related to the management system, product certification and service certification carried out by our institution shall comply with the provisions of these rules.

2 相关要求 Relevant requirements

2.1 各部门应做好本规则实施前的准备工作，使认证审核过程符合本规则的规定。All departments shall make preparations before the implementation of these rules to make the certification audit process comply with the provisions of these rules.

2.2 各部门应做好本规则的宣贯，使申请组织和获证组织了解本规则的规定。All departments shall publicize and implement the rules to make the applicant organization and the certified organization understand the provisions of the rules.

2.3 本规则是我机构在疫情防控期间管理体系认证活动中的基本要求，各部门在该项认证活动中应当遵守本规则。These rules are the basic requirements of our organization in the certification of management system during epidemic prevention and control, and all departments shall abide by these rules in this certification activity.

3 主要文件依据：Reference

3.1 相应的认证标准Corresponding certification standards;

3.2 市监认证〔2020〕9号《市场监管总局办公厅关于在新型冠状病毒感染肺炎疫情防控期间实施好质量认证相关工作的通知》Notice of novel coronavirus infection control office during the period of prevention and control of the new type of coronavirus infection;

3.3 IAF ID3：2011《影响认可机构、合格评定机构和获证组织的突发事件或情况的管理》；

3.4 认可委（秘）[2020]16号《关于在新冠肺炎疫情防控期间认可工作安排的通知》；

3.5 CNAS-CC14:2019《信息和通信技术（ICT）在审核中应用》；

3.6 CNAS-CC105：2016 《确定管理体系审核时间(QMS、EMS、OHSMS)》；

3.7 CNAS-SC125：2018《职业健康安全管理体系 认证机构认可方案》；

3.8 CNAS-CC01:2015等CNCA、CNAS、CCAA相关规则、规范、标准文件；

3.9 我机构相关程序文件Relevant procedure documents of our organization。

4 初次认证程序 Initial certification procedure

4.1 受理认证申请Accept certification application

4.1.1 我机构应当要求申请组织至少提交以下资料

Our institution shall require the applicant organization to submit at least the following materials：

（1）认证申请书，申请书应包括申请认证的生产、经营、产品或服务活动范围及活动情况的说明。

An application for certification, which shall include a description of the scope of production, business, product or service activities and activities of the application for certification.

（2）法律地位的证明文件的电子版。若管理体系、产品认证、服务认证覆盖多场所活动，应附每个场所的法律地位证明文件的电子版（适用时）。

Electronic version of documents proving legal status. If the

management system, product certification or service certification covers activities in multiple places, an electronic version of the legal status certificate of each place shall be attached (if applicable).

（3）体系覆盖的活动所涉及法律法规要求的行政许可证明、资质证书、强制性认证证书等的电子版。

Electronic version of administrative license certificate, qualification certificate, compulsory certification certificate, etc. required by laws and regulations involved in activities covered by the system.

（4）管理体系、产品认证、服务认证成文信息Written information of management system,product certification and service certification.

4.1.2 上述要求申请组织提交的资料全部以电子资料的形式提交，尽量减少线下纸质资料传递。

All the materials required to be submitted by the application organization above shall be submitted in the form of electronic materials to minimize the transmission of offline paper materials.

4.1.3 我机构应对申请组织提交的申请资料进行评审，根据申请认证的活动范围及场所、员工人数、完成审核所需时间和其他影响认证活动的因素，综合确定是否有能力受理认证申请。

Our institution shall review the application materials

submitted by the application organization, and comprehensively determine whether it is able to accept the certification application according to the scope and place of activities applying for certification, the number of employees, the time required to complete the audit and other factors affecting the certification activities.

4.1.4 对被执法监管部门责令停业整顿或在全国企业信用信息公示系统中被列入“严重违法企业名单”的申请组织，不应受理其认证申请。

For the application organizations that are ordered by the law enforcement and regulatory authorities to suspend business for rectification or are listed in the "list of serious illegal enterprises" in the national enterprise credit information publicity system, their certification applications shall not be accepted.

4.1.5 对符合受理要求的，可决定受理认证申请；对不符合要求的，应通知申请组织补充和完善，或者不受理认证申请。

If it meets the acceptance requirements, it may decide to accept the certification application; For those that do not meet the requirements, the applicant organization shall be notified to supplement and improve, or the certification application shall not be accepted.

4.1.6 对于拟安排远程审核/检查的申请组织，需要与其确认是否具

备以下基础设施之一以支持使用信息和通信技术（简称ICT）：智能手机、手持设备、笔记本电脑、台式电脑、无人机、摄像机、可穿戴技术、人工智能及其他。不具备上述基础设施的，不可策划安排远程审核。

For the applicant organization to arrange remote audit/inspection, it is necessary to confirm whether it has one of the following infrastructure to support the use of information and communication technology (ICT): smart phones, handheld devices, laptops, desktops, UAVs, cameras, wearable technologies, artificial intelligence and others. If the above infrastructure is not available, remote audit cannot be planned and arranged.

4.1.7 签订认证合同Sign certification contract

在实施认证审核前，我机构应与申请组织订立具有法律效力的书面认证合同，合同应至少包含以下内容：Before the implementation of certification audit, our institution shall conclude a legally effective written certification contract with the applicant organization, which shall at least include the following contents:

（1）申请组织获得认证后持续有效运行管理体系的承诺。The applicant organization's commitment to continuously and effectively operate the management system after obtaining the certification.

（2）申请组织对遵守认证认可相关法律法规，协助认证监管部门的监督检查，对有关事项的询问和调查如实提供相关材料和信息的承诺。The

applicant organization promises to abide by the laws and regulations related to certification and accreditation, assist the supervision and inspection of the certification regulatory department, inquire and investigate relevant matters, and truthfully provide relevant materials and information.

（3）申请组织承诺获得认证后发生以下情况时，应及时向认证机构通报：The applicant organization promises to inform the certification authority in time of the following circumstances after obtaining the certification:

①客户及相关方有重大投诉。Major complaints from customers and interested parties.

②生产、销售的产品或提供的服务被质量或市场监管部门认定不合格。The products produced and sold or the services provided are deemed unqualified by the quality or market supervision department.

③发生产品和服务的质量安全事故。Quality and safety accidents of products and services.

④相关情况发生变更，包括：法律地位、生产经营状况、组织状态或所有权变更；取得的行政许可资格、强制性认证或其他资质证书变更；法定代表人、最高管理者变更；生产经营或服务的工作场所变更；管理体系、产品认证、服务认证覆盖的活动范围变更；管理体系、产品。服务和重要过程的重大变更等。Changes in relevant circumstances, including changes in legal status, production and operation status,

organizational status or ownership; Change of administrative license qualification, compulsory certification or other qualification certificates obtained; Change of legal representative and top management; Change of workplace for production, operation or service; Changes in the scope of activities covered by the management system, product certification and service certification; Major changes in management system, product , service and important processes, etc.

⑤出现影响管理体系、产品和服务运行的其他重要情况。Other important situations affecting the operation of the management system, product certification or service certification.

（4）申请组织承诺获得认证后正确使用认证证书、认证标志和有关信息，不利用管理体系认证证书和相关文字、符号误导公众认为其产品或服务通过认证。The applicant organization promises to correctly use the certification certificate, certification mark and relevant information after obtaining the certification, and does not use the management system certification certificate and relevant words and symbols to mislead the public that its products or services have passed the certification.

（5）拟认证的体系覆盖的生产、产品或服务的活动范围。The scope of production or service activities covered by the system to be certified.

（6）在认证审核实施过程及认证证书有效期内，认证机构和申请组织各自应当承担的责任、权利和义务。 During the implementation process of certification audit and the validity period of certification certificate, the certification authority and the application organization shall bear their respective responsibilities, rights and obligations.

（7）认证服务的费用、付费方式及违约条款。Fees, payment methods and default terms of certification services.

4.1.8 疫情防控期间，认证合同的签订都通过网络在线传递的方式进行签订，并双方保留签订的认证合同电子扫描件或复印件。待疫情防控解除后3个月内，我机构和申请组织联络，收集纸质版认证合同。

During the epidemic prevention and control period, the certification contract is signed through online transmission, and both parties retain the electronic scanning or copy of the signed certification contract. Within 3 months after the elimination of epidemic prevention and control, our institution will contact the application organization to collect paper certification contracts.

4.2 审核/检查策划 Audit/Inspection program

4.2.1 审核/检查方式 Audit/Inspection type

4.2.1.1 自2020年2月16日起至疫情解除期间，对于所有初次审核/检查在受理前都要进行风险评价，根据风险评价的结果，确定相应的认证措施方案。如确定可采取远程审核/检查方式实施审核的，按照远程审核/检

查的方式进行策划。

From February 16, 2020 to the end of the epidemic, all initial audits/inspections will be subject to risk assessment before acceptance, and the corresponding certification measures will be determined based on the results of the risk assessment. If it is determined that the audit can be implemented by means of remote audit/inspection, the planning shall be carried out in accordance with the method of remote audit/inspection.

4.2.1.2 自2020年2月16日起至疫情防控结束期间，初审的一阶段审核均为远程审核/检查，二阶段经风险评价后，可采取远程审核/检查。

From February 16, 2020 until the end of the epidemic prevention and control period, the first stage of the preliminary audit will be remote audit/inspection, and after the risk assessment in the second stage, remote audit/inspection can be adopted.

4.2.2 审核时间 Audit time

4.2.2.1为确保认证审核的完整有效，我机构应以认证认可规则所规定的审核/检查时间为基础，根据申请组织管理体系、产品、服务认证覆盖的活动范围、特性、技术复杂程度、质量安全风险程度、认证要求和体系、产品、服务覆盖范围内的有效人数等情况，核算并拟定完成审核/检查工作需要的时间。在特殊情况下，可以减少审核/检查时间，但减少的时间不得超过认证认可规则所规定的审核时间的 30%。

In order to ensure the integrity and effectiveness of the

certification audit, our organization shall calculate and prepare the time required to complete the audit based on the audit/inspection time specified in the certification and accreditation rules and according to the activity scope, characteristics, technical complexity, quality and safety risk degree, certification requirements and effective number of people within the coverage of the application organization management system, product certification or service certification. Under special circumstances, the audit/inspection time can be reduced, but the reduced time shall not exceed 30% of the audit time specified in the certification and accreditation rules.

4.2.2.2 整个审核时间中，远程审核/检查时间不应少于总审核时间的80%。

In the whole audit time, the remote audit/inspection time shall not be less than 80% of the total audit/inspection time.

4.2.3 审核/检查组 Audit/Inspection team

4.2.3.1认证机构应当根据管理体系、产品认证、服务认证覆盖的活动的专业技术领域选择具备相关能力的审核员组成审核/检查组，必要时可以选择技术专家参加审核/检查组。审核/检查组中的审核/检查员承担审核/检查任务和责任。

The certification body shall select auditors with relevant capabilities to form an audit/inspection team according to the

professional and technical fields of activities covered by the management system, production certification or service certification, and may select technical experts to participate in the audit/inspection team when necessary. The auditors/inspectors in the audit/inspection team shall undertake the audit/inspection tasks and responsibilities.

4.2.3.2 技术专家主要负责提供认证审核的技术支持，不作为审核员实施审核/检查，不计入审核/检查时间，其在审核/检查过程中的活动由审核/检查组中的审核员/检查员承担责任。

Technical experts are mainly responsible for providing technical support for certification audit. They do not audit/inspect as auditors/inspectors and are not included in the audit/inspect time. Their activities in the audit/inspection process shall be borne by the auditors in the audit/inspection team.

4.2.3.3 审核/检查组可以有实习审核/检查员，其要在审核/检查员的指导下参与审核，不计入审核时间，不单独出具记录等审核/检查文件，其在审核/检查过程中的活动由审核/检查组中的审核/检查员承担责任。

The audit/inspection team may have trainee auditors/inspectors who shall participate in the audit/inspection under the guidance of the auditors/inspectors, which shall not be included in the audit/inspection time, and shall not issue audit/inspection documents such as records separately. The auditors/inspectors in

the audit team shall be responsible for their activities in the audit/inspection process.

4.2.3.4 由于要采取远程审核/检查，审核/检查员及其他涉及到的人员（例如：技术专家）应具备能力和智慧以便理解和利用所采用的信息和通信技术取得期望获得的审核结果。审核/检查员同样应意识到远程审核应用信息与通信技术的风险和机遇，以及应用这些技术对信息收集有效性和客观性的影响。

Due to the remote audit/inspection, auditors/inspectors and other involved personnel (e.g. technical experts) should have the ability and wisdom to understand and use the adopted information and communication technology to achieve the expected audit results. Auditors/inspectors should also be aware of the risks and opportunities of the application of ICT in remote audit/inspection and the impact of the application of these technologies on the effectiveness and objectivity of information collection.

4.2.4审核/检查计划 Audit/Inspection plan

4.2.4.1审核组应为每次远程审核制定书面的审核/检查计划（第一阶段审核不要求正式的审核/检查计划）。审核/检查计划至少包括以下内容：审核/检查目的，审核/检查准则，审核/检查范围，审核/检查的日期和场所，审核/检查持续时间，审核/检查组成员（其中：审核/检查员应标明认证人员注册号;技术专家应标明专业代码、工作单位及专业技术职称），在审核/检查计划中应明确对远程审核的安排。

The audit/inspection team shall prepare a written audit/inspection plan for each remote audit/inspection (formal audit/inspection plan is not required for the first stage audit). The audit/inspection plan shall at least include the following contents: audit/inspection purpose, audit/inspection criteria, audit/inspection scope, audit/inspection date and place, audit/inspection duration, audit/inspection team members (including: auditors/inspectors shall indicate the registration number of certification personnel; The technical expert shall indicate the professional code, work unit and professional technical title), and the arrangement of remote audit shall be specified in the audit/inspection plan.

4.2.4.2 如果管理体系、产品认证、服务认证覆盖范围包括在多个场所进行相同或相近的活动，且这些场所都处于申请组织授权和控制下，可以在审核/检查中对这些场所进行抽样，但应根据相关要求实施抽样以确保对所抽样本进行的审核对管理体系、产品认证、服务认证包含的所有场所具有代表性。如果不同场所的活动存在明显差异、或不同场所间存在可能对质量管理有显著影响的区域性因素，则不能采用抽样审核的方法，应当逐一对各现场进行远程审核。

If the management system,product certification or service certification covers the same or similar activities in multiple places, and these places are under the authorization and control

of the application organization, these places can be sampled in the audit/inspection, but sampling shall be carried out according to relevant requirements to ensure that the audit of the sampled samples is representative of all places included in the management system,product certification or service certification. If there are obvious differences in activities in different places, or there are regional factors that may have a significant impact on quality management in different places, the sampling audit method cannot be adopted, and the remote audit shall be conducted on each site one by one.

4.2.4.3 为使远程审核活动能够观察到产品生产或服务活动情况，远程审核/检查应安排在认证范围覆盖的产品生产或服务活动正常运行时进行。

In order to enable the remote audit activity to observe the product production or service activities, the remote audit/inspection shall be arranged when the product production or service activities covered by the certification are in normal operation.

4.2.4.4 在审核/检查活动开始前，审核/检查组应将审核/检查计划交申请组织确认，遇特殊情况临时变更计划时，应及时将变更情况通知申请组织，并协商一致。

Before the audit/inspection activity, the audit/inspection

team shall submit the audit/inspection plan to the application organization for confirmation. In case of temporary change of the plan under special circumstances, the change shall be notified to the application organization in time and agreed upon through consultation.

4.3 实施审核/检查 Implement audit/inspection

4.3.1 审核组应当按照远程审核/检查计划的安排完成审核工作。除不可预见的特殊情况外，审核/检查过程中不得更换审核计划确定的审核/检查员。

The audit team shall complete the audit/inspection according to the arrangement of the remote audit/inspection plan. Except for unforeseen special circumstances, the auditors/inspectors determined in the audit/inspection plan shall not be replaced during the audit/inspection process.

4.3.2 审核/检查组应当会同申请组织通过适宜的方式（如微信、QQ等方式）召开首、末次会议。

The audit/inspection team shall hold the first and last meetings together with the application organization in appropriate ways (such as wechat, QQ, etc.).

4.3.3 审核/检查过程及环节 Audit/inspection process and links

4.3.3.1 初次认证审核/检查，分为第一阶段（全部远程审核/检查）、第二阶段（远程审核/检查）实施审核。

The initial certification audit is divided into the first stage (all remote audit/inspection) and the second stage (remote audit/inspection).

4.3.3.2 第一阶段审核/检查应至少覆盖以下内容： The first stage audit/inspection shall cover at least the following contents:

（1）确认申请组织实际情况与管理体系、产品认证、服务认证成文信息描述的一致性，特别是体系、产品认证、服务认证成文信息中描述的产品和服务、部门设置和职责与权限、生产或服务过程等是否与申请组织的实际情况相一致。 Confirm the consistency between the actual situation of the applicant organization and the written information description of the management system, product certification or service certification especially whether the products and services, department settings, responsibilities and authorities, production or service processes described in the written information of the system are consistent with the actual situation of the applicant organization.

（2）审核申请组织理解和实施管理体系、产品认证、服务认证标准要求的情况，评价管理体系运行过程中是否实施了内部审核与管理评审，确认管理体系是否已运行并且超过3个月。Review the application organization's understanding and implementation of the standard requirements of the management system,product certification or service certification evaluate whether the internal audit and

management review have been implemented during the operation of the management system, and confirm whether the management system has been in operation for more than 3 months.

（3）确认申请组织建立的管理体系、产品认证、服务认证覆盖的活动内容和范围、体系、产品认证和服务认证覆盖范围内有效人数、过程和场所，遵守适用的法律法规及强制性标准的情况。

Confirm that the management system, product certification, service certification established by the applicant organization, the content and scope of activities covered by the system, product certification and service certification, the effective number of people, processes and places within the coverage, and compliance with applicable laws, regulations and mandatory standards.

（4）结合管理体系、产品认证、服务认证覆盖产品和服务的特点识别对质量目标的实现具有重要影响的关键点，并结合其他因素，科学确定重要审核/检查点。 In combination with the characteristics of products and services covered by the management system, product certification or service certification identify the key points that have an important impact on the realization of quality objectives, and scientifically determine the important audit/inspection points in combination with other factors.

（5）与申请组织讨论确定第二阶段审核/检查安排。对管理体系、产品认证和服务认证成文信息不符合现场实际、相关体系运行尚未超过3个

月或者无法证明超过3个月的，以及其他不具备二阶段审核/检查条件的，不应实施二阶段审核/检查。

Discuss with the applicant organization to determine the second stage audit/inspection arrangement. If the written information of the management system, product certification or service certification does not conform to the actual situation on site, the relevant system has not been operated for more than 3 months or cannot be proved for more than 3 months, and other conditions for phase II audit/inspection are not met, phase II audit shall not be implemented.

（6）确认组织是否具备远程审核/检查的资源和条件。Confirm whether the organization has the resources and conditions for remote audit/inspection.

4.3.3.3 审核/检查组应将第一阶段审核/检查情况形成书面文件告知申请组织。对在第二阶段审核/检查中可能被判定为不符合项的重要关键点，要及时提醒申请组织特别关注。The audit/inspection team shall inform the applicant organization of the first-stage audit/inspection in a written document. For important key points that may be judged as nonconformities in the second stage of the audit/inspection, the applicant organization shall be reminded to pay special attention in time.

4.3.3.4 第二阶段的远程审核/检查应当在申请组织正常进行生产时

进行。重点是审核/检查申请组织的管理体系、产品认证、服务认证符合标准要求和有效运行情况，应至少覆盖以下内容：

The second stage of remote audit/inspection shall be conducted when the applicant organization is in normal production. The key point is to audit/inspect the compliance of the management system, product certification or service certification of the applicant organization with the standard requirements and effective operation, which shall at least cover the following contents:

（1）在第一阶段审核/检查中识别的重要审核/检查点的过程控制的有效性。

Effectiveness of process control of important audit/inspection points identified in the first stage audit/inspection.

（2）为实现方针而在相关职能、层次和过程上建立的目标是否具体适用、可测量并得到沟通、监视。Whether the objectives established in relevant functions, levels and processes to achieve the policy are specifically applicable, measurable, communicated and monitored.

（3）对管理体系、产品认证、服务认证覆盖的过程和活动的管理及控制情况。Management and control of processes and activities covered by the management system, product certification or service certification.

（4）申请组织实际工作记录是否真实。对于审核/检查发现的真实性存疑的证据应予以记录并在做出审核/检查核结论及认证决定时予以考虑。Whether the actual work records of the applicant organization are true. Evidence with doubt about the authenticity of audit/inspection findings shall be recorded and considered when making audit/inspection conclusions and certification decisions.

（5）申请组织的内部审核和管理评审是否有效。Whether the internal audit and management review of the applicant organization are effective.

4.3.4 发生以下情况时，审核/检查组应向认证机构报告，经认证机构同意后终止审核。

In case of the following circumstances, the audit/inspection team shall report to the certification authority and terminate the audit with the consent of the certification authority.

（1）受审核方对审核活动不予配合，审核/检查活动无法进行。 The auditee does not cooperate with the audit activities, and the audit/inspection activities cannot be carried out.

（2）受审核方实际情况与申请材料有重大不一致。The actual situation of the auditee is materially inconsistent with the application materials.

（3）其他导致审核/检查程序无法完成的情况。Other circumstances that make the audit/inspection procedure impossible to complete.

4.4 审核报告 Audit/inspection report

4.4.1 审核/检查组应对审核活动形成书面审核报告。审核/检查报告应准确、简明和清晰地描述审核/检查活动的主要内容，至少包括以下内容：

The audit/inspection team shall form a written audit/inspection report on the audit activities. The audit/inspection report shall accurately, concisely and clearly describe the main contents of audit/inspection activities, including at least the following contents:

（1）申请组织的名称和地址。Name and address of the applicant organization.

（2）申请组织活动范围和场所。Apply for the scope and place of the organization's activities.

（3）审核/检查的类型、准则和目的。Type, criteria and purpose of audit/inspection.

（4）审核/检查组组长、审核/检查组成员及其个人注册信息。Audit/inspection team leader, audit/inspection team members and their personal registration information.

（5）审核/检查活动的实施日期，包括固定现场和临时现场；对偏离审核/检查计划情况的说明，包括对审核/检查风险及影响审核结论的不确定性的客观陈述。 Implementation date of audit/inspection activities, including fixed site and temporary site; Description

of deviation from audit/inspection plan, including objective statement of audit/inspection risk and uncertainty affecting audit/inspection conclusion.

（6）叙述从4.3条列明的程序及各项要求的审核/检查工作情况，其中：对4.3.3.4条的各项审核/检查要求应逐项描述或引用审核证据、审核/检查发现和审核结论；对质量目标和过程及质量绩效实现情况进行评价。Describe the audit work of the procedures and requirements listed in article 4.3, in which the audit/inspection evidence, audit/inspection findings and audit/inspection conclusions shall be described or quoted item by item for the audit/inspection requirements in article 4.3.3.4; Evaluate the realization of quality objectives, processes and quality performance.

（7）审核/检查实施过程中所采用ICT的范围，以及为达到审核、检查目的应用ICT的有效性。 The scope of ICT used in the audit/inspection implementation process and the effectiveness of ICT application for audit/inspection purposes.

（8）识别出的不符合项。Identified nonconformities.

（9）审核/检查组对是否通过认证的意见建议。Opinions and suggestions of the audit/inspection team on whether it has passed the certification.

4.4.2审核/检查组应在远程审核/检查过程中保留适当的客观证据。

The audit/inspection team shall retain appropriate objective

evidence during the remote audit/inspection.

4.4.3 我机构应在作出认证决定后30个工作日内将审核/检查报告以电子版发给企业。

Our organization shall send the audit/inspection report to the enterprise in electronic form within 30 working days after making the certification decision.

4.5 不符合项的纠正和纠正措施及其结果的验证。

Correction of nonconformities and verification of corrective measures and their results.

4.5.1 对审核/检查中发现的不符合项，审核/检查组应要求申请组织分析原因，并提出纠正和纠正措施。对于严重不符合，应要求申请组织在最多不超过6个月期限内采取纠正和纠正措施。应对申请组织所采取的纠正和纠正措施及其结果的有效性进行验证。如果未能在第二阶段结束后6个月内验证对严重不符合实施的纠正和纠正措施，则应按4.6.5条处理，或者按照4.3.3.4条重新实施第二阶段审核/检查。

For the nonconformities found in the audit/inspection, the audit/inspection team shall request the application organization to analyze the causes and put forward corrections and corrective measures. For serious nonconformities, the applicant organization shall be required to take corrective measures within a period of no more than 6 months. The effectiveness of the corrective and corrective measures taken by the applicant organization and their

results shall be verified. If the correction and corrective measures for serious nonconformities are not verified within 6 months after the end of the second stage, it shall be handled according to article 4.6.5, or the second stage audit shall be re-implemented according to article 4.3.3.4.

4.6 认证决定 Decision making

4.6.1 认证决定人员应该在对审核/检查报告、不符合项的纠正和纠正措施及其结果进行综合评价基础上，作出认证决定。

The certification decision-maker shall make the certification decision based on the comprehensive evaluation of the audit/inspection report, the correction of nonconformities, corrective measures and their results.

4.6.2 认证决定人员应为我机构管理控制下的人员，审核/检查组成员不得参与对审核项目的认证决定。

The personnel making the certification decision shall be the personnel under the management and control of our organization, and the members of the audit/inspection team shall not participate in the certification decision of the audit items.

4.6.3 认证决定人员在作出认证决定前应确认如下情形：The certification decision-maker shall confirm the following situations before making the certification decision:

（1）审核/检查报告符合本规则第4.4条要求，审核/检查组提供的审

核/检查报告及其他信息能够满足作出认证决定所需要的信息。The audit/inspection report meets the requirements of article 4.4 of these rules, and the audit/inspection report and other information provided by the audit/inspection team can meet the information required for making certification decisions.

（2）反映以下问题的不符合项，认证机构已评审、接受并验证了纠正和纠正措施的有效性。 For the nonconformities reflecting the following problems, the certification authority has reviewed, accepted and verified the effectiveness of corrections and corrective measures.

①在持续改进管理体系、产品认证和服务认证的有效性方面存在缺陷，实现质量目标有重大疑问。There are defects in continuously improving the effectiveness of the management system,product certification or service certification and there are major doubts about achieving the quality objectives.

②制定的目标不可测量、或测量方法不明确。The objectives set are not measurable or the measurement method is not clear.

③对实现目标具有重要影响的关键点的监视和测量未有效运行，或者对这些关键点的报告或评审记录不完整或无效。The monitoring and measurement of key points that have an important impact on the achievement of objectives are not operated effectively, or the report or review records of these key points are incomplete or

invalid.

④其他严重不符合项。Other serious nonconformities.

（3）对其他一般不符合项已评审，并接受了申请组织计划采取的纠正和纠正措施。Other general nonconformities have been reviewed, and the corrections and corrective measures planned by the application organization have been accepted.

4.6.4 在满足4.6.3条要求的基础上，有充分的客观证据证明申请组织满足下列要求的，评定该申请组织符合认证要求，向其颁发认证证书。

On the basis of meeting the requirements of article 4.6.3, if there is sufficient objective evidence to prove that the applicant organization meets the following requirements, the applicant organization shall be evaluated as meeting the certification requirements and issued a certification certificate.

（1）申请组织的管理体系、产品认证和服务认证符合标准要求且运行有效。The management system, product certification or service certification of the applicant organization meets the standard requirements and operates effectively.

（2）认证范围覆盖的产品和服务符合相关法律法规要求。The products and services covered by the certification meet the requirements of relevant laws and regulations.

（3）申请组织按照认证合同规定履行了相关义务。The applicant organization has fulfilled relevant obligations in accordance with

the certification contract.

4.6.5 申请组织不能满足上述要求或者存在以下情况的，评定该申请组织不符合认证要求，以书面形式告知申请组织并说明其未通过认证的原因。

If the applicant organization fails to meet the above requirements or has the following circumstances, it shall be evaluated that the applicant organization does not meet the certification requirements, and the applicant organization shall be informed in writing and explain the reasons for its failure to pass the certification.

（1）受审核方的管理体系、产品和服务有重大缺陷，不符合管理体系、产品认证和服务认证标准的要求。The auditee's management system, product or service has major defects and does not meet the requirements of management system, product certification or service certification standards.

（2）发现受审核方存在重大质量安全问题或有其他与产品和服务相关严重违法违规行为。It is found that the auditee has major quality and safety problems or other serious violations related to products and services.

4.6.6 认证机构在颁发认证证书后，应当在30个工作日内按照规定的要求将认证结果相关信息报送国家认监委。

After issuing the certification certificate, the certification

authority shall submit the relevant information of the certification results to the CNCA in accordance with the specified requirements within 30 working days.

5 监督审核程序 Surveillance procedure

5.1 我机构应对持有其颁发的管理体系、产品认证、服务认证证书的组织（以下称获证组织）进行有效跟踪，监督获证组织持续运行管理体系，产品和服务符合认证要求。

Our organization shall effectively track the organization holding the management system, product certification or service certification certificate issued by it (hereinafter referred to as the certified organization), and supervise the certified organization to continuously operate the management system, product certification or service certification meet the certification requirements.

5.2 监督审核/检查的时间，应不少于按4.2.2条计算审核时间人日数的1/3。

The time of surveillance shall not be less than 1 / 3 of the man days calculated according to Article 4.2.2.

5.3 监督审核/检查的审核/检查组，原则上安排实施上次审核/检查的审核/检查组，并应符合4.2.3条和4.3.1条的要求。

The audit/inspection team supervising the audit/inspection shall, in principle, arrange the audit/inspection team

implementing the last audit/inspection , and shall meet the requirements of articles 4.2.3 and 4.3.1.

5.4 监督审核/检查要在风险评估的基础上，确定相应的认证措施方案。如确定可采取远程审核/检查方式实施审核的，采取审核/检查审核的方式实施，且应满足第4.3.3.4条确定的条件。由于市场、季节性等原因，在每次监督审核/检查时难以覆盖所有产品和服务的，在认证证书有效期内的监督审核/检查需覆盖认证范围内的所有产品和服务。

The surveillance shall be implemented by means of remote audit/inspection . And shall meet the conditions determined in article 4.3.3.4. If it is difficult to cover all products and services during each surveillance due to market, seasonal and other reasons, the surveillance within the validity period of the certification certificate shall cover all products and services within the certification scope.

5.5 监督审核/检查时至少应审核以下内容：At least the following contents shall be reviewed during surveillance：

（1）上次审核/检查以来管理体、产品认证、服务认证覆盖的活动及影响体系、产品和服务的重要变更及运行体系的资源是否有变更。Whether the activities covered by the management system, product certification, service certification and the important changes affecting the system, products and services, and the resources of the operating system have changed since the last audit/inspection.

（2）按4.3.3.2（4）条要求已识别的重要关键点是否按管理体系、产品认证、服务认证的要求在正常和有效运行。Whether the important key points identified according to article 4.3.3.2 (4) operate normally and effectively according to the requirements of the management system, product certification, service certification.

（3）对上次审核/检查中确定的不符合项采取的纠正和纠正措施是否继续有效。Whether the corrective and corrective measures taken for the nonconformities determined in the last audit/inspection continue to be effective.

（4）管理体系、产品认证、服务认证覆盖的活动涉及法律法规规定的，是否持续符合相关规定。If the activities covered by the management system, product certification or service certification involve laws and regulations, whether they continue to comply with relevant regulations.

（5）目标及绩效是否达到管理体系、产品认证、服务认证覆盖的活动涉及法律法规规定的，是否持续符合相关规定。确定值。如果没有达到，获证组织是否运行内审机制识别了原因、是否运行管理评审机制确定并实施了改进措施。Whether the objectives and performance meet the determined value of the management system, product certification or service certification. If not, whether the certified organization operates the internal audit mechanism to identify the causes, whether the management review mechanism is operated to

determine and implement improvement measures.

（6）获证组织对认证标志的使用或对认证资格的引用是否符合《认证认可条例》及其他相关规定。Whether the use of certification marks or the reference of certification qualifications by the certified organization comply with the certification and accreditation regulations and other relevant provisions.

（7）内部审核和管理评审是否规范和有效。Whether the internal audit and management review are standardized and effective.

（8）是否及时接受和处理投诉。Whether complaints are received and handled in time.

（9）针对体系运行中发现的问题或投诉，及时制定并实施了有效的改进措施。For the problems or complaints found in the operation of the system, effective improvement measures have been formulated and implemented in time.

5.6 在监督审核/检查中发现的不符合项，审核/检查组应要求获证组织分析原因，规定时限要求获证组织完成纠正和纠正措施并提供纠正和纠正措施有效性的证据。For the nonconformities found in the surveillance, the audit/inspection team shall require the certified organization to analyze the causes, specify the time limit, require the certified organization to complete the correction and corrective measures, and provide evidence of the effectiveness of the correction and corrective measures.

我机构应采用适宜的方式及时验证获证组织对不符合项进行处置的效果。

Our organization shall timely verify the effect of the certified organization's disposal of nonconformities in an appropriate way.

5.7 监督审核/检查的审核/检查报告，应按5.5条列明的审核/检查要求逐项描述或引用审核/检查证据、审核/检查发现和审核/检查结论。

The audit/inspection report of surveillance shall describe or quote audit/inspection evidence, audit/inspection findings and audit conclusions item by item according to the audit/inspection requirements listed in article 5.5.

5.8 认证决定人员根据监督审核/检查报告及其他相关信息，作出继续保持或暂停、撤销认证证书的决定。

The certification decision-maker shall make a decision to continue to maintain or suspend or revoke the certification certificate according to the surveillance report and other relevant information.

5.9 由于疫情防控情况的影响不能接受审核/检查监督审核的获证组织，通过与获证组织进行沟通交流并收集到足够的信息和证据进行评价后，我机构可将初次认证后的第一次现场监督审核/检查推迟到疫情防控解除后3个月内进行（通常不超过初次认证之日起18个月）。后续的现场监督审核/检查可推迟到疫情防控解除后的3个月内进行（通常不超过本次证书有效期6个月）。

For certified organizations that cannot accept remote surveillance due to the impact of epidemic prevention and control, after communicating with certified organizations and collecting sufficient information and evidence for evaluation, our institution can postpone the first on-site surveillance after initial certification to 3 months after the release of epidemic prevention and control (usually no more than 18 months from the date of initial certification). The follow-up on-site surveillance can be postponed to 3 months after the elimination of epidemic prevention and control (usually no more than 6 months after the validity of this certificate).

5.10 超过上述期限而未能实施监督审核/检查的，应按7.1或7.2条处理。

If the surveillance cannot be carried out beyond the above period, it shall be handled in accordance with Article 7.1 or 7.2.

6 再认证程序 Recertification

6.1 认证证书期满前，若获证组织申请继续持有认证证书，我机构应当实施再认证审核/检查，并决定是否延续认证证书。

Before the expiration of the certification certificate, if the certified organization applies to continue to hold the certification certificate, our institution shall conduct recertification audit/inspection and decide whether to continue the

certification certificate.

6.2 我机构应按4.2.3条和4.3.1条要求组成审核/检查组。审核/检查组按照4.2.4条要求并结合历次监督审核/检查情况，制定再认证审核/检查计划实施再认证审核/检查。Our organization shall form an audit/inspection team according to the requirements of 4.2.3 and 4.3.1. The audit/inspection team shall formulate the recertification audit/inspection plan and implement the recertification audit/inspection in accordance with the requirements of article 4.2.4 and in combination with the previous surveillance.

6.3 再认证审核/检查要在风险评估的基础上，确定相应的认证措施方案。如确定可采取远程审核/检查方式实施审核的，采取远程审核/检查的方式。在管理体系、产品和服务及获证组织的内部和外部环境无重大变更时，再认证审核/检查可省略第一阶段审核，但审核/检查时间应不少于按4.2.2条计算人日数的2/3。 The re-certification audit/inspection shall determine the corresponding certification measures based on the risk assessment. If it is determined that the audit/inspection can be implemented by means of remote audit/inspection, the method of remote audit/inspection shall be adopted. When there are no major changes in the management system, products certification or services certification, and the internal and external environment of the certified organization,the first stage of recertification

audit can be omitted, but the audit time shall not be less than 2 / 3 of the man days calculated according to Article 4.2.2.

6.4 对再认证审核/检查中发现的严重不符合项，审核/检查组应规定时限要求获证组织实施纠正与纠正措施，并在原认证证书到期前完成对纠正与纠正措施的验证。

For serious nonconformities found in the recertification audit/inspection, the audit/inspection team shall specify a time limit, require the certified organization to implement corrective and corrective measures, and complete the verification of corrective and corrective measures before the expiration of the original certification certificate.

6.5 认证决定人员应按照4.6条要求作出再认证决定。获证组织继续满足认证要求并履行认证合同义务的，向其换发认证证书。

The certification decision-maker shall make a re certification decision in accordance with the requirements of article 4.6. If the certified organization continues to meet the certification requirements and fulfill the obligations of the certification contract, it shall renew the certification certificate.

6.6 由于疫情防控情况的影响不能按期接受远程再认证审核/检查，且认证证书即将到期的获证组织，通过与获证组织进行沟通交流并收集到足够的信息和证据进行评价后，我机构可将获证组织的认证证书有效期延长到疫情防控解除后3个月（通常不超过证书有效期后6个月）。

Due to the impact of epidemic prevention and control, certified organizations that cannot accept remote recertification audit/inspection on schedule and whose certification certificate is about to expire, after communicating with certified organizations and collecting sufficient information and evidence for evaluation, Our institution can extend the validity period of the certification certificate of the certified organization to 3 months after the elimination of epidemic prevention and control (usually no more than 6 months after the validity period of the certificate).

6.7 超过上述期限而未能实施再认证审核/检查的，则不应予以再认证。

If the recertification audit/inspection is not carried out after the above period, It should not be recertified.

7 暂停或撤销认证证书Suspension or withdraw of certification

7.1 暂停证书 Suspension

7.1.1 获证组织有以下情形之一的，我机构应在调查核实后的5个工作日内暂停其认证证书。

Under any of the following circumstances, our organization shall suspend its certification certificate within 5 working days after investigation and verification.

（1）管理体系、产品或服务认证持续或严重不满足认证要求，包括

对管理体系运行有效性要求的。The management system, product certification or service certification continuously or seriously fails to meet the certification requirements, including the requirements for the operation effectiveness of the management system.

（2）不承担、履行认证合同约定的责任和义务的。Failing to undertake or perform the responsibilities and obligations agreed in the certification contract.

（3)被有关执法监管部门责令停业整顿的。Being ordered to suspend business for rectification by the relevant law enforcement and regulatory authorities.

（4）持有的与管理体系范围有关的行政许可证明、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 license certificate, qualification certificate and compulsory certification certificate related to the scope of the management system have expired, and the resubmitted application has been accepted but has not been replaced.

（5）主动请求暂停的。Active request for suspension.

（6）其他应当暂停认证证书的。Other that should suspend the certification certificate.

7.1.2 认证证书暂停期不得超过6个月。但属于7.2.1第（4）项情形的暂停期可至相关单位作出许可决定之日。

The suspension period of certification certificate shall not exceed 6 months. However, in the case of item (4) of 7.2.1, the suspension period may be until the date when the relevant unit makes the permission decision.

7.1.3 我机构应以适当方式公开暂停认证证书的信息，明确暂停的起始日期和暂停期限，并声明在暂停期间获证组织不得以任何方式使用认证证书、认证标识或引用认证信息。

Our institution shall disclose the information of the suspended certification certificate in an appropriate manner, specify the start date and duration of the suspension, and state that the certified organization shall not use the certification certificate, certification mark or reference the certification information in any way during the suspension.

7.2 撤销证书 Withdraw certification

7.2.1获证组织有以下情形之一的，我机构应在获得相关信息并调查核实后5个工作日内撤销其认证证书。

Under any of the following circumstances, our organization shall revoke its certification certificate within 5 working days after obtaining relevant information and investigating and verifying.

（1）被注销或撤销法律地位证明文件的。The legal status certificate is cancelled or revoked.

（2）被国家质量监督检验检疫总局列入质量信用严重失信企业名单。It has been listed in the list of serious dishonest enterprises of quality credit by the State Administration of quality supervision, inspection and quarantine.

（3）拒绝配合认证监管部门实施的监督检查，或者对有关事项的询问和调查提供了虚假材料或信息的。Refusing to cooperate with the supervision and inspection carried out by the certification regulatory authority, or providing false materials or information for the inquiry and investigation of relevant matters.

（4）拒绝接受国家产品质量监督抽查的。Refusing to accept the state's product quality supervision and random inspection.

（5）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。Major quality and safety accidents such as products and services are confirmed by the law enforcement and supervision department to be caused by the violation of the certified organization.

（6）有其他严重违反法律法规行为的。Other serious violations of laws and regulations.

（7）暂停认证证书的期限已满但导致暂停的问题未得到解决或纠正的（包括持有的与管理体系范围有关的行政许可证明、资质证书、强制性认证证书等已经过期失效但申请未获批准）。The period of suspension of certification certificate has expired but the problems leading

to the suspension have not been solved or corrected (including the administrative license certificate, qualification certificate, compulsory certification certificate, etc. related to the scope of management system have expired but the application has not been approved).

（8）没有运行管理体系或者已不具备运行条件的。There is no operation management system or no operation conditions.

（9）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超过2个月仍未纠正的。Failure to correctly quote and publicize the obtained certification information in accordance with relevant regulations, resulting in serious impact or consequences, or the certification authority has required it to correct but has not corrected it for more than 2 months.

（10）其他应当撤销认证证书的。Other circumstances in which the certification certificate should be revoked.

7.2.2 撤销认证证书后，认证机构应及时收回撤销的认证证书。若无法收回，认证机构应及时在相关媒体和网站上公布或声明撤销决定。

After the certificate is revoked, the certification authority shall withdraw the revoked certificate in time. If it cannot be withdrawn, the certification authority shall timely publish or announce the cancellation decision on relevant media and websites.

7.2.3 如获证组织在本次疫情发生前已经被暂停证书，在疫情防控结束前将暂停到期，但由于疫情防控的原因暂时无法消除暂停原因的，在获证组织提交了相关证据后，可将暂停期延长至疫情防控解除后3个月。

If the certificate of the certified organization has been suspended before the occurrence of the epidemic, the suspension will expire before the end of epidemic prevention and control, but the reason for suspension cannot be eliminated temporarily due to epidemic prevention and control, the suspension period can be extended to 3 months after the release of epidemic prevention and control after the certified organization submits relevant evidence.

7.3 我机构暂停或撤销认证证书应当在其网站上公布相关信息，同时按规定程序和要求报国家认监委。

When suspending or revoking the certification certificate, our institution shall publish relevant information on its website and report to CNCA according to the specified procedures and requirements.

8 认证证书要求 Certification requirements

8.1 认证证书应包含的信息、有效期和证书信息披露应符合认证认可规则的要求。

The information, validity period and certificate information disclosure contained in the certification certificate shall meet the requirements of certification and accreditation rules.

9 其他 Others

9.1 本规则所提及的各类证明文件均为电子版文件。

All kinds of supporting documents mentioned in these rules are electronic documents.

9.2 由于受疫情防控影响，获证组织无法在规定期限内完成对不符合项的整改，我机构可将不符合项的整改期推迟到疫情防控解除后3个月。

Due to the impact of epidemic prevention and control, the certified organization cannot complete the rectification of nonconformities within the specified time limit. Our organization can postpone the rectification period of nonconformities to 3 months after the elimination of epidemic prevention and control.

9.3 认证证书即将暂停到期，但是由于受疫情防控影响，暂时无法消除暂停原因的获证组织，我机构可将暂停期限延长到疫情防控解除后3个月。

If the certification certificate is about to expire, but the reason for the suspension cannot be eliminated due to the impact of epidemic prevention and control, our institution can extend the suspension period to 3 months after the lifting of epidemic prevention and control.

挪亚检测认证集团有限公司

2021年07月20日

NOA Certification & Testing Group Ltd.

July,20,2021