

程序文件	上海砺鼎认证有限公司			
	编号	版本	标 题	编制部门
	LC-2-11	A/3	认证决定管理程序	技术部

认证决定管理程序

Certification Decision Management Procedure



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Prepared by: Technology Department

审 核：

Reviewer: Xinmin Chen

批 准：

Approver: Li Sun

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修订记录

修订说明 Amendment note	修订页数 Revision page	修订日期 Date of revision	批准 Approve
增加更新食品安全、危害分析与关键控制点和服务认证管理体系相关内容。 Added and updated food safety, hazard analysis and critical control points and service certification management system related content.		2022.3.20	孙 丽
增加 ASC 养殖场、ASC 饲料、MSC/ASC 监管链相关要求。 Added the requirements of ASC Farm/ASC Feed/MSC/ASC COC.		2023.05.15	孙 丽
增加 FSC 监管链相关要求。 Added the requirements of FSC/COC		2023.08.02	孙丽

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认证决定管理程序

Certification Determination Management Procedures

1. 目的

1 Objective

为保证上海砺鼎认证有限公司（以下简称：LC）管理体系、ASC 养殖场、ASC 饲料、MSC/ASC 监管链、FSC 监管链认证决定过程实施控制的高效、规范、有序、公正和有效，特制定本程序。

This procedure is formulated to ensure the efficient, standardized, orderly, fair and effective control of the management system, ASC farm, ASC feed, MSC/ASC Chain of custody, FSC Chain of custody certification decision process of Shanghai Leading Certification Co., Ltd. (hereinafter referred to as: LC).

2. 适用范围

2. Scope of application

适合于对初次认证、转换认证、再认证以及特殊审核等做出认证决定的过程进行控制与管理 and 认证证书的批准签发控制，以及对认证注册资格的保持、暂停、撤销、注销、恢复的管理。

Suitable for the initial certification, transfer certification, re-certification and special audit to make the certification decision process control and management and certification certificate approval and issuance control, as well as the certification registration qualification to maintain, suspend, withdraw, terminate, renew.

3. 职责

3: Responsibilities

3.1 总经理：负责认证证书的签发。

3.1 General Manager: responsible for issuing the certification certificate.

3.2 技术委员会：当发生对认证决定产生的争议和重大技术问题时，授权在评价审核发现和结论及任何其他相关信息的基础上对组织做出是否批准认证的決定。

3.2 Technical Committee: In the event of disputes and major technical issues arising

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from the certification decision, the committee shall be authorized to decide whether to approve the certification of the organization on the basis of the evaluation of the findings and conclusions of the audit and any other relevant information.

3.3 技术部：

3.3 Technical Department:

- a) 负责认证决定工作的组织管理，做出认证及注册资格保持的认证决定结论；

a) Responsible for the organization and management of certification decisions, and making certification decisions on certification and registration qualification maintenance;

- b) 负责证书内容变更、暂停、撤销、注销和恢复的管理；

b) Responsible for the management of certificate content change, suspension, withdraw, termination and renewal;

3.4 市场部：

3.4 Marketing Department:

- a) 负责职权内证书内容变更、暂停、撤销、注销和恢复申请的填报；

a) Responsible for filling in applications for change, suspension, withdrawing, termination and renewal of certificate contents within the authority;

- b) 负责认证文件的发放。

b) Responsible for the issuance of certification documents.

3.5 认证部：

3.5 Certification Department:

- a) 负责职权内暂停申请的填报；

a) Fill in the suspension application within the authority;

- b) 负责暂停、恢复审核方案的策划与实施控制。

b) Responsible for the planning and implementation control of suspension and renewal of audit programs.

- c) 负责认证信息的定期上报及即时上报的控制管理。

c) Responsible for the regular reporting of certification information and the control and management of immediate reporting.

3.6 综合部：负责有关认证信息在 LC 网站上的公布。

3.6 Admin. Department: responsible for publishing relevant certification information on LC website.

4.工作程序

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4. Working procedures

4.1 技术部工作原则

4.1 Working principles of the Technology Department

4.1.1 技术部组建与授权

4.1.1 Establishment and authorization of Technology Department

a) LC 组建技术部，授权技术部在评价审核发现和结论及任何其他相关信息的基础上对组织做出是否批准认证的决定；

a) LC shall establish a technical department and authorize the Technical Department to make a decision on whether to approve or disapprove the organization based on the findings and conclusions of the review and any other relevant information;

b) 任命技术总监，授权负责认证决定结论的审批、认证决定过程中重大问题的协调处理，负责认证审核过程中重大工作失误的判定与处置。技术总监应该是上海砺鼎雇佣或和上海砺鼎签署合同。

b) The technical Director shall be appointed and authorized to be responsible for the approval of the certification decision, the coordination and handling of major issues in the process of certification decision, and the judgment and disposal of major work errors in the process of certification review. The technical director shall be employed by LC or shall be under contract with LC.

4.1.2 认证决定人员的能力要求

4.1.2 Competency requirements for certifying determiners

a) 参与认证决定过程的所有人员均应具备技术专家或管理体系审核员的资格是必须条件；

a) It is necessary that all personnel involved in the certification decision process should have the qualifications of technical experts or management system auditors;

b) 认证决定人员的技术领域能力准则，按《认证人员管理程序》执行。

b) The criteria for the competence of the certification determiners in the technical field shall be implemented in accordance with the Management Procedure for Certification Personnel.

c) FSC 项目认证决定人员的能力要求，按《森林项目人员管理程序》执行

c) The ability for the certification decision maker of FSC shall be implemented in accordance with the Forest Project Personnel Management Procedure.

4.1.3 技术部工作要求

4.1.3 Job requirements of the Technical Department

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a) 参与认证决定的所有人员，必须恪守国家认可规范有关公正性，都应是未参与该项目审核的人员，且与认证客户无直接或间接的利害关系，三年内未参与认证客户管理体系的认证咨询及影响公正性的其他相关活动，以保证不会受到来自其他各方任何影响公正性压力的影响，没有财务或其他商业利益冲突，并且没有曾作为审核组组长、审核员或技术专家参加过该审核项目；

a) All the personnel involved in the certification decision must abide by the national accreditation standards related to fairness, shall not be involved in the audit process, and have no direct or indirect interest relationship with the certification client, not participate in the certification consultation of the certification client management system and other related activities affecting the fairness within three years, To ensure that it is not subject to any pressure from other parties affecting impartiality; shall don't have any conflicts of interest, in particular, financial or other commercial interest in the outcome of the certification decision; shall have not taken part in the audit as audit team leaders, auditors or technical experts.

b) 技术部的所有成员均是通过专业技术能力评价合格的人员，并依据其专业技术领域的评价结果授予相应技术领域认证决定的权力。

b) All members of the technology Department shall be qualified personnel who have passed the professional and technical competence evaluation and shall be authorized to make certification decisions in the corresponding technical fields according to the evaluation results of their professional and technical fields.

◆ 属于 CNAS-TRC012: 2017 的带*号高风险专业范围的初次审核/再认证项目审核档案，需安排二名认证决定人员进行两次评定，且其中至少有一名成员为该专业认证决定人员，当两名认证决定人员均不具备相关专业能力时，应聘请一名具有相关专业能力的技术专家给予技术支持。

belongs to CNAS - TRC012: In 2017, for the initial audit/recertification project audit files of high-risk professional scope with * number, two certification decision-makers shall be arranged for two assessments, and at least one of them shall be the certification decision-maker of the professional. When neither of the two certification decision-makers have relevant professional ability, a technical expert with relevant professional ability shall be hired to give technical support.

◆ 一般专业范围的初次审核/再认证审核及监督审核项目审核档案，可安排一名具有相关专业的认证决定人员进行评定，若认证决定人员不具备相关专业能力时，应聘请一名具有相关专业能力的技术专家给予技术支持。

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general/recertification audit professional range of initial audit, reregistration and surveillance audit files, can arrange a relevant professional certification decision personnel to assess if the certification decision personnel do not have relevant professional ability, should hire a technical experts with relevant professional ability to give technical support.

4.2 认证决定工作程序

4.2 Working procedure of certification decision

4.2.1 技术部认证决定人员负责接收审核组提交的审核档案，按《审核档案整理和认证决定工作指南》的要求，对审核档案的完整性、符合性进行初步审查，填写《认证项目评定意见表》，如发现存在缺漏、错误，及时与审核组长沟通并采取措施直至解决。

4.2.1 The certification decision personnel of the Technology Department shall be responsible for receiving the audit files submitted by the audit team, conducting preliminary examination of the integrity and conformity of the audit files and filling in the Certification Project Evaluation Form according to the requirements of the Guidelines for the Arrangement of Audit Files and the Certification Decision. In case of any omission or error, communicate with the audit team leader in time and take measures to solve the problem.

4.2.1.1 完整性

4.2.1.1 Integrity

- a) 全套审核档案是否齐全，参照《管理体系审核档案清单》；
- a) Whether the full set of audit files is complete, refer to the List of Audit Files of the Management System;
- b) 实际提交资料与移交清单是否对应一致；
- b) Whether the actual submitted materials are consistent with the handover list;
- c) 所有记录内容的填写是否完整。
- c) Whether the contents of all records are complete.

4.2.1.2 符合性

4.2.1.2 Compliance

- a) 审核用表格的版本是否准确无误；

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a) Whether the version of the form used for review is accurate or not;

b) 认证申请书、合同评审、认证服务合同、认证申请评审及审核方案策划表、审核组派遣通知书、文审报告、审核计划、不符合项验证及审核报告的时间逻辑性是否一致；

b) Whether the time logic of certification application, contract review, certification service contract, certification application review and audit plan planning table, audit team dispatch notice, document review report, audit plan, non-conformance verification and audit report are consistent;

c) 审核实施过程中审核人员、审核时间、多场所抽样是否与审核组派遣通知书一致；审核报告的组织名称、地址、人数、范围是否与安排一致；

c) Whether the audit personnel, audit time and multi-site sampling in the process of audit implementation are consistent with the dispatch notice of the audit team; To check whether the name, address, number of people and scope of the organization in the report are consistent with the arrangement;

d) 如不一致，是否经再次评审，并做相关记录。

d) In case of inconsistency, whether it has been reviewed again and relevant records shall be made.

4.2.2 确认审核档案完整无误后，按专业分发至各专业决定人员对审核档案进行评定。

4.2.2 After confirming that the audit files are complete and correct, they shall be distributed to the decision-makers of each major to evaluate the audit files.

4.2.3 认证决定内容

4.2.3 Contents of the authentication decision

4.2.3.1 完整性和准确性

4.2.3.1 Completeness and Accuracy

按《管理体系审核档案清单》所提交的资料是否齐全，填写是否完整、清晰。

According to the "management system audit file list" submitted information is complete, fill in is complete and clear.

4.2.3.2 符合性

4.2.3.2 Compliance

a) 是否超已获认可的认证业务范围进行认证，颁发带有认可标志的认证证书；

a) Whether to conduct certification beyond the approved certification business scope and issue certification certificates with recognition marks;

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- b) 审核组成员是否符合公正性的规定；
- b) Whether the members of the audit team meet the requirements of impartiality;
- c) 审核人·日数是否满足认证要求；
- c) Whether the mandays meets the certification requirements;
- d) 审核计划是否覆盖了申请认证范围的活动、场所、产品和或服务过程；
- d) Review whether the plan covers the activities, sites, products and or services covered by the application for certification;
- e) 专业审核员/技术专家是否参与了专业活动的审核。
- e) Whether professional auditors/technical experts are involved in the audit of professional activities.

4.2.3.3 有效性

4.2.3.3 Effectiveness

- a) 不符合项的描述是否恰当，事实是否清楚，判据是否正确；
- a) Whether the description of nonconformity items is appropriate, whether the facts are clear and whether the criteria are correct;
- b) 纠正/纠正措施及验证是否可接受；
- Whether the Corrective/corrective action and verification is acceptable;
- c) 审核结论是否准确、有效。
- c) Whether the audit conclusion is accurate and effective.

4.2.3.4 充分性

4.2.3.4 Adequacy

- a) 审核过程是否充分，记录的抽样是否覆盖了申请认证范围的活动、场所、产品和或服务过程；
- a) Whether the audit process is adequate and whether the recorded sample covers the activities, sites, products and or service processes for which the certification is being sought;
- b) 如有多现场，抽样是否满足规定要求。
- b) If there are multiple sites, whether the sampling meets the specified requirements.

4.2.3.5 审核人员专业能力

4.2.3.5 Professional competence of audit personnel

- 核查审核组的专业能力是否满足要求。
- Verify that the professional competence of the audit team meets the requirements.

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4.2.3.6 对监督审核/再认证审核档案评定时，还应对获证客户的认证证书及标志使用情况、如有的质量监督抽查情况、食品安全风险抽查情况、对如有的顾客的投诉/抱怨所采取相应措施的记录进行评定。

4.2.3.6 When evaluating the surveillance audit /re-certification audit files, it shall also evaluate the use of the certification certificate and logo of the certified customers, such as some quality supervision and sampling inspection, food safety risk sampling inspection, as well as the record of corresponding measures taken for some customers' complaints/complaints.

4.2.3.7 对再认证审核档案评定时，还应针对上一个周期的管理体系运行情况的综合绩效评价进行评定。

4.2.3.7 When evaluating the re-certification audit files, it shall also evaluate the comprehensive performance evaluation of the operation of the management system in the last cycle.

4.2.4 认证决定的实施

4.2.4 Implementation of certification decision

a) 对于认证决定中发现的审核档案问题，由认证决定人员填写《认证项目评定意见表》，经认证决定主管确认后，发审核组长或者归口责任人员进行必要的整改，限期整改，并追踪落实整改结果。

a) For the problems in the audit files found in the certification decision, the certification decision maker shall fill in the Certification Project Evaluation Form, and upon confirmation by the certification decision manager, send the audit team leader or the centralized responsible person to carry out the necessary rectification within a time limit, and track and implement the rectification results.

b) 技术总监负责认证决定的技术把关工作，协调在认证决定过程中出现的技术问题，确认认证决定人员的工作结果，处理与相关部门的信息沟通。

b)The technical director is responsible for the technical control of the certification decision, coordinating the technical problems arising in the certification decision process, confirming the work results of the certification decision personnel, and handling the information communication with relevant departments.

4.3 初次认证及再认证决定

4.3 Decision on Initial certification and re-certification

4.3.1 认证决定的前提条件

4.3.1 Prerequisites for Authentication

a) 自现场审核结束直至认证批准的时间期限一般不宜超过 3 个月；

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- a) The time period from the completion of on-site audit to certification approval should not exceed 3 months;
- b) 在评价审核发现和结论及任何其他相关信息的基础上对申请认证客户做出是否批准认证/再认证的决定；
- b) Make a decision on whether to approve the certification/recertification of the client based on the evaluation of the findings and conclusions of the audit and any other relevant information;
- c) 再认证决定应根据再认证审核的结果，以及认证周期内的体系评价结果和认证使用方的投诉，做出是否更新认证的决定。且应在认证有效期终止前完成。
- c) The decision of re-certification shall be made on whether to renew the certification based on the results of the re-certification audit, the system evaluation results within the certification cycle and the complaints of the certification users. And shall be completed before the expiration of the certification period.

4.3.2 认证资格的批准

4.3.2 Approval of certification qualifications

4.3.2.1 有下列情节之一，不予认证：

4.3.2.1 In one of the following circumstances, the certification is not granted:

- a) 无标生产或企标未经国家主管部门认可或备案；
- a) Production without standards or enterprise standards not recognized or recorded by the competent national authorities;
- b) 管理体系运行时间不满足规定要求；
- b) The operation time of the management system does not meet the specified requirements;
- c) 国家质量监督抽查或上级主管部门质量抽查，产品和或服务质量不合格或被媒体曝光，又无有效纠正措施证据；
- c) The product or service quality is unqualified or exposed by the media, but there is no evidence of effective corrective measures;
- d) 发生重大环境、职业健康安全、食品安全事故，又无有效纠正措施证据；
- d) Major environmental, occupational health and safety, food safety accidents occur and there is no evidence of effective corrective measures;
- e) 未按产品标准规定进行型式试验，或无实物质量客观证据（证据包括最终用户或顾客的评价意见）。

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e) Type tests are not carried out in accordance with product standards, or there is no objective evidence of physical quality (evidence includes comments from end users or customers).

4.3.2.2 有下列情节之一，应采取补救措施后认证：

4.3.2.2 In one of the following cases, remedial measures shall be taken for certification:

- a) 现场审核中遗漏审核过程要求（要素）或区域、场所、部门；
- a) Audit process requirements (elements) or regions, sites and departments are omitted in the on-site audit;
- b) 不合格项纠正措施未经书面验证有效或纠正措施实施证据不到位；
- b) Corrective measures for nonconforming are not validated in writing or the evidence for the implementation of corrective measures is not in place;
- c) 未提供应有的产品实物质量（安全）或环境和职业健康安全绩效的客观证据；
- c) failing to provide required objective evidence of physical product quality (safety) or environmental and occupational health and safety performance;
- d) 审核报告与审核发现记录不一致，或审核报告中的评价无追溯性；
- d) The audit report is inconsistent with the audit finding record, or the evaluation in the audit report is not retroactive;
- e) 认证范围最终确认表述不符合认可规范要求。
- e) The final confirmation of the certification scope does not meet the requirements of the accreditation specification.

4.3.3 认证决定人员填写《认证发证推荐表》，做出认证结论，技术总监对认证决定结果进行确认，签署认证批准意见。认证决定采用一致通过方式，专业评定人员具有一票否决权，必要时应增加 1 名专业认证决定人员，技术总监对所做出的决定负责。

4.3.3 Certification decision makers fill in Certification Recommendation Form and make certification conclusions. The technical director confirms the certification decision results and signs the certification approval opinions. The certification decision shall be adopted unanimously, and the professional assessor shall have the right of veto. If necessary, one more professional certification decision maker shall be added, and the technical director shall be responsible for the decision made.

4.3.4 综合部制证人员根据评定决定，打印认证证书，明确认证证书及标志的使用规定。

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4.3.4 The certification personnel of the Admin. Department shall print the certification certificate according to the assessment decision, and specify the regulations on the use of the certification certificate and the logo.

4.3.5 认证决定不合格的处置

4.3.5 The disposal of unqualified products shall be determined after certification

4.3.5.1 认证决定人员做出不同意认证注册的审核项目，应提交技术总监组织复议，做出最终决议。

4.3.5.1 If the certification decision maker disagrees with the certification registration, it shall submit to the technical director for reconsideration and make a final decision.

4.3.5.2 当评定结论为不推荐时，按《管理体系认证的批准、拒绝、保持、扩大、缩小、暂停、恢复和撤销的条件和管理规范》处理，并且给出认证决定的理由。

4.3.5.2 When the assessment conclusion is negative, it shall be handled according to the Conditions and Management Norms of Approval, Refusal, Maintenance, Expansion, Reduction, Suspension, Renewal and Termination of Management System Certification and provide the reasons for this decision.

a) 认证客户应采取措施消除不合格原因，使管理体系达到和保持认证要求的水平，提出复审申请和纠正/纠正措施证据，并交纳复审费。

a) The certifying customer shall take measures to eliminate the causes of nonconformity, make the management system meet and maintain the level required by the certification, submit the request for review and evidence of corrective/corrective actions, and pay the review fee.

b) 技术总监根据情况，决定是否对认证客户进行审核，以证实管理体系能否满足要求。复审合格的，按程序批准认证。复审仍不合格或超过整改期限未提出复审申请的，予以注销认证申请。

b) The Technical Director shall, according to the circumstances, decide whether to audit the certified customer to verify whether the management system can meet the requirements. Those who pass the re-examination shall be approved for

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certification in accordance with the procedures. If the applicant still fails to pass the reexamination or fails to apply for reexamination after the rectification period, the application for certification shall be cancelled.

4.3.6 有关转换证书项目的认证决定要求，具体执行《管理体系认证证书转换管理规范》。

4.3.6 Regarding the certification decision requirements of the transfer certification, the Specification for the Management System Certification Certificate Conversion Management shall be implemented.

4.4 认证资格的保持

4.4 Maintenance of certification qualifications

4.4.1 资格保持的前提条件

4.4.1 Prerequisites for retention of Qualification

- a) 获证客户在证书有效期内为保持认证/注册必须具有自我完善机制，定期进行内部审核和管理评审；
a) The certified customer must have a self-improvement mechanism to maintain the certification/registration within the validity period of the certificate, and conduct internal audit and management review on a regular basis;
- b) 按规定的频次及间隔期限（初次认证后第一次监督审核应在认证证书签发日起 12 个月内进行。监督审核应至少每个日历年（应进行再认证的年份除外）进行一次，且两次监督审核的时间间隔不得超过 15 个月）接受监督审核，并对审核中提出的不符合项纠正有效；
b) According to the specified frequency and interval period (the first surveillance audit shall be conducted within 12 months after the initial certification date. The surveillance audit shall be conducted at least once in each calendar year (excluding the year in which recertification is required), and the time interval between the two surveillance audit shall not exceed 15 months. The surveillance audit shall be accepted, and the correction of non-conformance proposed in the audit shall be effective;
- c) 通过监督审核，审核组评价获证客户的管理体系能保持有效运行，产品和服务质量或环境和职业健康安全绩效良好，认证证书及标志的使用符合使用规定的要求，建议保持认证/注册；

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c) Through the surveillance audit, the audit team will evaluate that the management system of the certified customer can maintain effective operation, the quality of the product or service or the performance of the environment and occupational health and safety is good, the use of the certification certificate and mark meet the requirements of the use regulations, and it is recommended to maintain the certification/registration;

d) LC 要求时，能提供国家质量监督抽查或上级主管部门质量抽查产品质量不合格，或顾客投诉的有效纠正措施证据；

d) When required by LC, it can provide evidence of effective corrective measures for national quality supervision sampling inspection or quality sampling inspection by superior competent authorities for product quality disqualification or customer complaints;

e) 按时交纳监督费用。

e) Pay supervision fees on time.

4.4.2 资格保持的批准

4.4.2 Approval of qualification maintenance

4.4.2.1 认证决定人员依据《审核档案整理和认证决定工作指南》的要求，对监督审核档案进行评定，做出保持注册资格的决定，经技术总监对认证决定结果确认，签署保持批准意见；

4.4.2.1 The certificating-deciding personnel shall, in accordance with the Guidelines for the Arrangement of Audit Archives and the Certification Decision, evaluate the surveillance audit files and make the decision to maintain the registration qualification. The technical director shall confirm the result of the certification decision and sign the approval opinion;

4.4.2.2 综合部制证人员根据评定决定，打印《监督审核合格通知书》；

4.4.2.2 The certification personnel of the Admin. Department shall print the Notice of Qualified Surveillance Audit according to the assessment decision;

4.5 认证范围的扩大

4.5 Expansion of the certification scope

4.5.1 获证客户在其认证监督审核或需要时，可申请扩大其相应管理体系的认证范围，填写《客户信息变更申请表》报市场部，由认证部实施申请评审、策划审

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核方案，专项扩大审核或结合监督审核扩大认证范围审核，组织审核实施，具体执行《申请受理及审核管理程序》。

4.5.1 The certified customer can apply for expanding the certification scope of its corresponding management system, fill in the Customer Information Change Application Form and submit it to the Marketing Department, and the certification Department will conduct the application review, plan the audit plan, specifically expand the audit or expand the certification scope audit combined with the surveillance audit, and organize the audit and implementation. Specific implementation of the Application Acceptance and Review Management Procedures.

4.5.2 认证范围扩大的条件

4.5.2 Conditions for expanding the Authentication Scope

4.5.2.1 扩大管理体系覆盖产品和或服务范围时（包括已覆盖产品和或服务的品种、产品认证单元增加），拟扩入体系的产品和或服务需满足下列条件：

4.5.2.1 When expanding the scope of products and services covered by the management system (including the increase of varieties of products and services covered and product certification units), the products and services to be expanded into the system shall meet the following conditions:

- a) 已具备正常批量生产和供货的条件，符合法律法规和行业管理要求；
- a) Have the conditions for normal mass production and supply, and meet the requirements of laws and regulations and industry management;
- b) 拟扩项产品和或服务的管理已纳入体系的正常控制与管理；并已进行有效的监控；
- b) Management of products and services to be expanded has been incorporated into the normal control and management of the system; And has carried out effective monitoring;
- c) 已具备体系覆盖产品和或服务的质量、食品安全、环境和职业健康安全绩效保证能力。

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c) It has the ability to guarantee the quality, food safety, environment and occupational health and safety performance of products and services covered by the system.

4.5.2.2 扩大管理体系运行场所时，拟扩入体系的场所需满足下列条件：

4.5.2.2 When expanding the operation site of the management system, the site to be expanded into the system shall meet the following conditions:

a) 已成为管理体系组织结构的正常组成部分；

a) has become a normal part of the organizational structure of the management system;

b) 已纳入管理体系的正常控制与管理。

b) Normal control and management that has been incorporated into the management system.

4.5.3 扩大认证范围的认证决定及决定

4.5.3 Certification decisions and decisions to expand the scope of certification

4.5.3.1 认证决定人员对审核档案进行评定，做出扩大认证注册资格的决定，并填写《认证发证推荐表》，，技术总监对认证决定结果进行确认，签署认证批准意见。

4.5.3.1 Certification decision makers to assess the audit file, make a decision to expand the eligibility for certification and registration, and fill out the “Certification and Licensing Recommendation Form”,, the technical director of the certification decision to confirm the results of the certification and sign the certification approval.

4.5.3.综合部制证人员根据评定决定，予以更换认证证书，证书中标注换证日期，证书编号及有效期保持不变，市场部发放新认证证书，并要求获证客户 1 个月内交回原认证证书。

4.5.3. The certification personnel of the Admin. Department shall replace the certification certificate according to the assessment decision. The date of replacement shall be marked in the certificate, and the certificate number and validity period shall

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remain unchanged.

4.6 认证范围的缩小

4.6 Reduction of the authentication scope

4.6.1 获证客户可在管理体系监督审核时或需要时，申请缩小其相应管理体系认证范围，由接收信息部门填写《客户信息变更申请表》报认证部。

4.6.1 The certified customer can apply for reducing the scope of its corresponding management system certification when the management system surveillance audit or when necessary, and the receiving information department shall fill in the Customer Information Change Application Form and submit it to the Certification Department.

4.6.2 认证范围缩小的条件：

4.6.2 Conditions for narrowing the Scope of Authentication:

4.6.2.1 管理体系覆盖产品和或服务范围的缩小针对下列情况实施：

4.6.2.1 Reduction of the scope of products and services covered by the management system shall be implemented in the following cases:

a) 国家明令淘汰的工艺和产品；

a) Processes and products that have been eliminated by official state decree;

b) 受到取缔或限产的产品和或服务；

b) Products and services whose production is banned or restricted;

c) 失去必要的资格而不具备条件继续生产和提供的产品和或服务；

c) Products and or services that have lost the necessary qualifications and are no longer in a position to continue producing and providing;

d) 证书持有者决定不再保持认证范围内的某些产品和或服务；

d) The Certificate holder decides not to maintain certain products or services covered by the certification;

e) 获证客户因改制等原因已将体系内的产品和或服务分离出去；

e) The products and services within the system have been separated by the licensed customers due to restructuring and other reasons;

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f) 其它。

上述前三种情况，也构成 LC 强制缩小管理体系认证范围的条件。

f) Others.

The above three situations, also constitute LC forced to narrow the scope of management system certification conditions.

4.6.2.2 体系覆盖场所范围的缩小针对下列情况实施：

4.6.2.2 The reduction of the scope of sites covered by the system shall be implemented in the following cases:

a) 已脱离注册的管理体系组织结构的场所；

a) The site that has been removed from the registered organizational structure of the management system;

b) 已租赁、承包给外部经营的场所；

b) Premises that have been leased or contracted to external management;

c) 已脱离注册管理体系所覆盖产品和或服务的生产经营活动的场所；

c) The site that has departed from the production and business activities of products and services covered by the registration management system;

d) 获证客户决定不再覆盖的场所，且其环境影响和危险源相对独立；

d) Sites that the licensed customer has decided to no longer cover and whose environmental impacts and hazard sources are relatively independent;

e) 其它。

上述前三种情况，也构成 LC 强制缩小注册管理体系认证范围的条件。

e) Others.

The above three situations, also constitute LC forced to narrow the scope of registration management system certification conditions.

a) 4.6.3 对认证范围缩小的申请及相关信息经认证部确认，由技术部做出决定，综合部制证人员予以更换认证证书，证书中标注换证日期，证书编号及有效期保持不变，市场部发放新认证证书，并要求获证客户 1 个月

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内交回原认证证书。

a)4.6.3 The Technical Department shall make a decision upon confirmation by the Certification Department of the application and related information of the reduced scope of certification. The certification personnel of the Comprehensive Department shall replace the certification certificate with the date of replacement marked in the certificate, and the certificate number and validity period shall remain unchanged. The Marketing Department shall issue a new certification and require the certified customer to return the original certification within one month.

4.7 认证资格的暂停及暂停后续处理

4.7 Suspension of Certification qualification and subsequent handling of suspension

4.7.1 暂停认证注册资格的条件

4.7.1 Conditions for suspension of registration qualification

获证客户存在以下情形之一的，认证部应在调查核实后的 5 个工作日内暂停其认证证书，并将暂停信息报送 CNCA。

In case of any of the following circumstances, the certification Department shall suspend the certification certificate within 5 working days after the investigation and verification, and submit the suspension information to CNCA.

4.7.1.1 监督审核受理或实施过程中，发现认证客户的管理体系运行存在严重问题，不能持续满足认证要求的，如：

4.7.1.1 In the process of acceptance or implementation of surveillance audit, it is found that there are serious problems in the operation of the management system of the certification customer, which cannot continuously meet the certification requirements, such as:

- a) 部分或全部认证/注册范围或认证业务领域未达到保持认证有效性条件的；
- a) Part or all of the certification/registration scope or the certification business area does not meet the requirements to maintain the validity of the certification;

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b) 持有的国家法规强制要求的许可文件，如行政许可证明、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；

b) The license documents, such as administrative license certificate, qualification certificate and compulsory certification certificate, which are compulsory required by national laws and regulations have expired and become invalid, and the resubmitted application has been accepted but the license has not been replaced;

c) 有关执法监管部门抽查不符合的，如产品和或服务质量监督抽查不合格、环境检测结果不达标、职业卫生安全检测结果不达标，但未出现重大产品和或服务质量环境食品安全事故，未造成严重后果的；

c) Where the product or service quality supervision fails to meet the requirements in the random inspection conducted by the relevant law enforcement and regulatory authorities, for example, the product or service quality supervision fails to meet the requirements in the random inspection, the environmental testing results fail to meet the requirements in the environmental testing results, and the occupational health and safety testing results fail to meet the requirements, but no major product or service quality environmental and food safety accidents occur and no serious consequences are caused;

d) 顾客对获证客户有重大投诉，经查存在严重问题的；

d) The customer has major complaints against the certified customer, and there are serious problems after investigation;

e) 违反了认证证书和标志使用规定，但未产生严重后果且正在整改中的。

e) Has violated the regulations on the use of certification certificates and marks, but has not resulted in serious consequences and is being rectified.

4.7.1.2 不承担、履行认证合同约定的责任和义务，如：

4.7.1.2 Don't undertake or perform the responsibilities and obligations stipulated in the certification contract, such as:

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a) 不能按要求的频次或间隔期限接受监督或再认证审核的；

a) Unable to accept surveillance audit or recertification audit at the required frequency or interval;

b) 拖期未缴纳认证费用的。

b) overdue payment of certification fee.

4.7.1.3 被有关执法监管部门责令停业整顿的。

4.7.1.3 Ordered to suspend business for rectification by relevant law enforcement and supervision departments.

4.7.1.4 被地方认证监管部门发现体系运行存在问题，需要暂停证书的。

4.7.1.4 The certificate needs to be suspended due to problems in system operation found by the local certification supervision department.

4.7.1.5 获证客户主动提出暂停的。

4.7.1.5 The licensed customer voluntarily proposes suspension.

4.7.1.6 发生其他违反法律法规或违背认证合同，应当暂停认证证书的。

4.7.1.6 In case of any other violation of laws and regulations or violation of the certification contract, the certification certificate shall be suspended.

4.7.2 暂停处理流程

4.7.2 Suspending the Processing Flow

4.7.2.1 凡属 4.7.1.1 类情况，如在受理和审核实施过程中发现的，由认证部填写《暂停、恢复、撤销、注销认证决定申请表》；如在审核实施后发现的，由认证决定人员填写《暂停、恢复、撤销、注销认证决定申请表》，报技术部批准。《暂停、恢复、撤销、注销认证决定申请表》中应明确部分或全部暂停的认证/注册范围或认证业务领域、暂停期限及后续恢复认证资格的实施要求等内容。

4.7.2.1 For cases of 4.7.1.1, such as those found in the process of acceptance and audit, the Certification Department shall fill in the Application Form for Suspension, Renewal, Withdrawing and Termination of Certification Decision; If it is found after the audit and implementation, the certification decision maker shall fill in the Application

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Form for Suspension, Renewal, Withdrawing and Termination of Certification Decision and submit it to the Technical Department for approval. The Application Form for Suspension, Renewal, Withdrawing and Termination of Certification Decision shall specify the scope of certification/registration or the business area of certification that is partially or completely suspended, the suspension period and the implementation requirements for subsequent restoration of certification.

4.7.2.2 凡属 4.7.1.2~4.7.1.6 类情况，均由市场部填写《暂停、恢复、撤销、注销认证决定申请表》，报技术部批准。

4.7.2.2 For cases of 4.7.1.2~4.7.1.6, the Marketing Department shall fill in the Application Form for Suspension, Renewal, Withdrawing and Termination of Certification Decision and submit it to the Technical Department for approval.

4.7.3 暂停期限

4.7.3 Suspension period

4.7.3.1 认证/注册资格的暂停期应不超过 6 个月。被暂停的获证客户应在暂停期满之前进行恢复监督审核，否则予以撤销。如有特殊情况，应经技术总监特殊批准。

4.7.3.1 The suspension period of certification/registration shall not exceed 6 months. The suspended licensed client shall conduct a surveillance audit before the suspension expires, otherwise it shall be withdrawing. In case of special circumstances, special approval should be obtained from the Technical Director.

4.7.3.2 监督审核通常在上次审核结束后 12 个月内进行，当获证客户遇有如下特殊情况时，可适当延长监督审核，但延长期不能超过 3 个月。

4.7.3.2 Surveillance audit is usually carried out within 12 months after the completion of the last audit. When the certified customer meets the following special circumstances, the surveillance audit may be extended appropriately, but the extension period shall not exceed 3 months.

- a) 获证客户发生极其特殊（天灾人祸）情况不能按期接受监督审核；

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a) The certified client cannot accept surveillance audit as scheduled under extremely special circumstances (natural and man-made disasters);

b) 对于多管理体系认证的获证客户，如果先获得一个管理体系的证书，以后又增加其他管理体系的认证而造成多个管理体系的监督审核时间不一致，可以根据获证客户管理体系运行情况把多个管理体系的监督审核集中在同一时间进行。

b) For more management system certification of the customer, if the first to obtain a management system certificate, and then increase the certification of other management systems caused by a number of management system surveillance audit time is inconsistent, can be based on the operation of the customer management system to obtain a number of management system surveillance audit concentrated at the same time.

由市场部客服人员对接获证客户提交的延期申请理由的真实性、合理性进行核实后报认证部复核、技术部批准，在延长期内可不作暂停处理，审核时仍按正常监督审核进行。

The customer service staff of the Marketing Department shall verify the authenticity and reasonableness of the extension application submitted by the certified customers and then report it to the certification Department for review and approval of the technical Department. During the extension period, it is not necessary to suspend processing, and the audit shall still be carried out in accordance with the normal surveillance audit.

4.7.5 暂停认证注册资格的后续处理

4.7.5 Follow-up Procedure for Suspending the Registration Qualification

4.7.5.1 在批准暂停认证注册资格后，技术部按暂停审批意见制作《暂停认证证书通知书》，要求被暂停的获证客户在暂停期内停止使用认证证书和对认证资格的宣传。并要求其在暂停期内采取积极措施，以便恢复认证注册资格。由市场部客服人员将《暂停认证证书通知书》发放给被暂停的获证客户。

4.7.5.1 After approving the suspension of the certification registration qualification, the Technical Department shall make the Notice of Suspension of Certification Certificate according to the opinions on suspension of approval, requiring the

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suspended customers to stop using the certification certificate and promoting the certification qualification during the suspension period. It is also required to take active measures during the suspension period in order to restore the accreditation registration. The customer service staff of the Marketing Department will issue the Notice of Suspension Certificate to the suspended licensed customers.

4.7.5.2 对暂停认证/注册资格的恢复

4.7.5.2 Recovery of suspension of authentication/registration

- a) 未实施审核的非正常情况暂停认证/注册资格的恢复，应结合监督审核或再认证审核予以恢复，特殊情况可通过提供有效的整改证据予以恢复；

注：特殊情况如：未按照认证合同规定缴纳认证费用而引起的暂停认证资格。

- a) Suspension of certification/restoration of registration qualification under abnormal circumstances without audit shall be carried out in combination with surveillance audit or re-certification audit. In special cases, it can be recovering by providing effective evidence of rectification;

Note: Special circumstances such as: failure to pay certification fees in accordance with the provisions of the certification contract caused by suspension of certification qualification.

- b) 已实施审核的暂停认证/注册资格的恢复，应通过补充现场审核予以恢复；

- b) The recovering for suspension of certification/registration qualification shall be taken by additional on-site audit;

- c) 当获证客户申请恢复暂停认证注册资格时，由市场部客服人员填写《暂停、恢复、撤销、注销认证决定申请表》报认证部，由认证部策划暂停后恢复审核的实施方案；

- c) When a certified customer applies for the recovering of the suspension of certification registration, the customer service staff of the Marketing Department shall fill in the Application Form for Suspension, Renewal, Withdrawing and Termination of Certification Decision and submit it to the Certification Department, and the Certification Department shall plan the implementation plan for the recovery of audit after suspension;

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d) 对结合监督/再认证或补充现场审核恢复认证注册资格的审核实施，具体执行《申请受理及审核实施管理程序》。认证决定与审批的要求与认证资格的保持相同；

d) For carrying out the surveillance audit/re-certification or supplementary audit for recovering of the certification registration qualification, we specifically implement the Management Procedures for Application Acceptance and Audit Implementation. The requirements for certification decision and approval shall remain the same as those for certification qualification;

e) 在批准恢复认证注册资格后，技术部按恢复审批意见制作《恢复认证通知书》。

e) After approving the restoration of the certification registration qualification, the Technical Department shall prepare the Certification Restoration Notice according to the approval opinions.

4.8 认证资格的撤销

4.8 Withdrawing of certification

4.8.1 撤销认证注册资格的条件

4.8.1 Conditions for Withdrawing of registration qualification

获证客户存在以下情形之一的，技术部应在调查核实后的 5 个工作日内撤销其认证证书，并将撤销信息报送 CNCA。

In case of any of the following circumstances, the Technical Department shall withdraw the certificate within 5 working days after investigation and verification, and submit the cancellation information to CNCA.

a) 被撤销或注销法律地位证明文件或许可资格的；

a) The certificate of legal status or license has been withdrawn or cancelled;

b) 出现重大的产品和或服务等质量安全责任事故，造成严重影响，性质非常恶劣的；

b) Serious product and service quality and safety liability accidents, which cause serious impact and are very bad in nature;

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c) 管理体系未运行或者已不具备运行条件的；

c) The management system is not in operation or is no longer qualified for operation;

d) 违反证书和标志使用规定，并造成严重后果的；

d) Violating regulations on the use of certificates and marks and causing serious consequences;

e) 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，经查证属实的；

e) Refuse to cooperate with the supervision and inspection carried out by the certification regulatory authority, or provide false materials or information for the inquiry and investigation of relevant matters, which is verified to be true;

f) 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（包括持有的国家法规强制要求的许可文件已经过期失效但申请未获批准）。

f) The period of suspension of the certificate has expired but the problem causing the suspension has not been solved or corrected (including the license document held as required by national regulations has expired but the application has not been approved).

g) 其他严重违法违反法律法规或违背认证合同的，应当撤销认证证书的。

g) In case of any other serious violation of laws and regulations or violation of the certification contract, the certification certificate shall be withdrawn.

4.8.2 撤销处理流程

4.8.2 Withdrawing Processing Flow

如在受理和审核实施过程中发现的，由认证部填写《暂停、恢复、撤销、注销认证决定申请表》；如在审核实施后发现的，由认证决定人员填写《暂停、恢复、撤销、注销认证决定申请表》，报技术部批准。

If it is found in the process of acceptance and audit, the certification Department shall fill in the Application Form for Suspension, Renewal, Withdrawing and

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Termination of Certification Decision; If it is found after the audit and implementation, the certification decision maker shall fill in the Application Form for Suspension, Renewal, Withdrawing and Termination of Certification Decision and submit it to the Technical Department for approval.

4.8.3 撤销认证注册资格的后续处理

4.8.3 Follow-up Procedure for withdrawing

在批准撤销认证注册资格后，技术部按撤销审批意见制作《撤销认证证书通知书》，要求被撤销认证资格的获证客户自撤销之日起，停止使用认证证书和对认证资格的宣传，并在接到通知后，交回被撤销的认证证书（限认证证书有效期内的）。

After the approval of the withdrawing of the certification registration qualification, the technology Department makes the Notice of withdrawing of the Certification Certificate according to the opinion of withdrawing of the approval, requiring the certified customer who has been retracted to stop the use of the certification certificate and the publicity of the certification qualification from the date of Withdrawing, and return the withdrawn certification certificate (within the validity period of the certification certificate) after receiving the notice.

4.9 认证资格的注销

4.9 Termination of Certification

4.9.1 获证客户有下列情况之一时，认证注册资格将被注销：

4.9.1 The certified customer will be cancelled in any of the following circumstances:

a) 在证书有效期内，由于认证要求的变更，获证客户不愿或不能确保符合变更后的要求的；

a) During the validity period of the certificate, due to the change of certification requirements, the certified customer is unwilling or unable to ensure that the changed requirements are met;

b) 认证证书有效期满前 1 个月内，获证客户无理由不再提出再认证申请的；

b) Within 1 month prior to the expiration of the certificate of certification, the

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certified client no longer applies for re-certification without reason;

c) 获证客户主动请求注销的。

c)The certified customer voluntarily requests termination.

4.9.2 市场部客服人员填写《暂停、恢复、撤销、注销认证决定申请表》，报技术部批准。

4.9.2 The customer service staff of the Marketing Department shall fill in the Application Form for Suspension, Renewal, Withdrawing and Termination of Certification Decision and submit it to the Technical Department for approval.

4.9.3 注销认证注册资格的后续处理

4.9.3 Follow-up Procedure for Deregistering the authentication Registration Qualification

在批准注销认证注册资格后，综合部制证人员按注销审批意见打印制作《撤销认证证书通知书》，要求被注销认证资格的获证客户自注销之日起，停止使用认证证书和对认证资格的宣传，并在接到通知后，交回被注销的认证证书（限认证证书有效期内的）。

After the approval of the termination of the certification registration qualification, the admin. department of certification personnel according to the cancellation of approval opinions print the "Notice of termination of certification certificate", and require the terminated customer to stop using the certification certificate and the publicity of the certification qualification, and after receiving the notice, return the terminated certificate (within the validity period of the certification certificate).

5. 相关文件

5. Relevant documents

下列文件对于本文件的应用是必不可少的。凡是注日期的引用文件，仅所注日期的版本适用于本文件。凡是不注日期的引用文件，其最新版本（包括所有的修改单）适用于本文件。

The following documents are essential for the application of this document. For dated

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references, only the dated version applies to this document. For undated references, the latest version (including all amendment orders) applies to this document.

5.1 CNAS-CC01:2015 《管理体系认证机构要求》

5.1 CNAS-CC1:2015 Requirements for Certification Bodies of Management Systems

5.2 《质量管理体系认证规则》

5.2 Quality Management System Certification Rules

5.3 CNAS-CC121: 2017 《环境管理体系审核及认证的能力要求》

5.3 CNAS-CC121:2017 Capacity Requirements for Environmental Management System Audit and Certification

5.4 CNAS-CC131: 2017 《质量管理体系审核及认证的能力要求》

5.4 CNAS-CC131:2017 "Quality Management System Audit and Certification Capability Requirements"

5.5 CNAS-CC125: 2018 《职业健康安全管理体系审核及认证的能力要求》

5.5 CNAS-CC125:2018 "Ability Requirements for Audit and Certification of Occupational Health and Safety Management System"

5.6 CNAS-CC105: 2016《确定管理体系审核时间(QMS、EMS、OHSMS、FSMS、HACCP、服务认证)》

5.6 CNAS-CC105:2016 "Determine the management system audit Time (QMS, EMS, OHSMS, FSMS, HACCP, Service Certification)"

5.7 CNAS-CC11: 2018 《多场所组织的管理体系审核与认证》

5.7 CNAS-CC11:2018 "Multi-Site Organization Management System Audit and Certification"

5.8 《申请受理及审核实施管理程序》

5.8 Application Acceptance and Review Implementation Management Procedures

5.9 《认证人员管理程序》

5.9 Certification Personnel Management Procedure

5.10 《审核档案整理和认证决定工作指南》

5.10 Guide to Audit Archives Arrangement and Certification Decision

5.11 《管理体系认证的批准、拒绝、保持、扩大、缩小、暂停、恢复和撤销的条件和管理规范》

5.11 Conditions and Management Norms for Approval, Rejection, maintenance,

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expansion, reduction, suspension, recovery and Withdrawing of Management System

Certification

5.12 ASC MSC 海藻认证认可要求

5.12 ASC MSC Seaweed Certification and accreditation requirements

5.13 ASC 养殖场认证认可要求

5.13 ASC Farm Certification and accreditation requirements

5.14 ASC 饲料认证认可要求

5.14 ASC Feed Certification and accreditation requirements

5.15 ASC 社会责任审核风险评估

5.15 ASC Social Audit Risk Assessment Calculator

5.16 ASC 饲料标准适当取样计算

5.16 ASC Feed Standard Due diligence sampling calculator

5.17 MSC 通用认证要求 2.6 版

5.17 MSC General certification requirements v2.6

5.18 MSC 监管链标准 5.1 版

5.18 MSC Chain of Custody Standard-Default Version v5.1

5.19 MSC 监管链集团客户标准 2.1 版

5.19 MSC Chain of Custody Standard-Group Version v2.1

5.20 MSC 监管链面向顾客组织标准 2.1 版

5.20 MSC Chain of Standard Consumer-Facing Organisation Version v2.1

5.21 MSC 监管链认证要求 3.2 版

5.21 MSC Chain of Custody certification requirements v3.2

5.22 MSC 劳工要求 1.0 版

5.22 MSC Labour Eligibility requirements v1.0

5.23 MSC-MSCI 术语 1.5 版

5.23 MSC-MSCI Vocabulary v1.5

5.24 FSC 认可机构通用要求 4-0

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5.24 General requirements for FSC accredited certification bodies FSC-STD-20-001
(V4-0)

5.25 FSC 监管链评审要求 V4-2

5.25 Chain of Custody Evaluations FSC-STD-20-011 (V4-2)

5.26 ASC 监管链模块 1.1 版

5.26 ASC Chain of Custody (CoC) Module ASC-COC-001, Version 1.1

5.27 MSC 监管链劳工自查表 2.0 版

5.27 MSC Chain of Custody Labour Self-Assessment Form V2.0

6. 记录

6 Record

6.1 《认证项目评定意见表》

6.1 Certification Project Evaluation Form

6.2 《认证发证推荐表》

6.2 Certification and Certification Recommendation Form

6.3 《监督审核合格通知书》

6.3 Notice of Conformity in Surveillance audit

6.4 《暂停、撤销、暂停、恢复、撤销、注销认证决定申请表》

6.4 Application Form for Suspension, Withdrawing, Suspension, Restoration, Withdrawing or Cancellation of Certification Decision

6.5 《客户信息变更申请表》

6.5 Customer Information Change Application Form

6.6 《暂停、恢复、撤销、注销认证决定申请表》

6.6 Application Form for Suspension, Renewal, Withdrawing and Termination of Certification Decision

6.7 《暂停认证证书通知书》

6.7 Notice of Suspension of Certification

6.8 《恢复认证证书通知书》

6.8 Notice of Certificate Recovering

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6.9 《撤销认证证书通知书》

6.9 Notice of Withdrawing of Certification

6.10 《注销认证证书通知书》

6.10 Notice of Termination of Certificate