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|  | 中平国际认证（深圳）有限公司 Zhongping International Certification (Shenzhen) Co., Ltd. | 文件编号 Document number | GK-03 |
| | 申请组织、获证客户、认证机构的权利与义务 Rights and Obligations of the Applicant, the Client and the Certification Body | 版 号 Version number | B1 |

申请组织、获证客户、认证机构的权利与义务

Rights and Obligations of the Applicant, the Client and the Certification Body

编 制： 文件编写组
Prepared by: Document authoring group
审 核： 卢钟钰
Audit: Lu Zhongyu
批 准： 闫 平
Approved by: Yan Ping
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1、申请认证组织的权利与义务

1. Rights and obligations of the organization applying for certification

1.1 权利

1.1 Rights

1) 申请组织有权询问机构资格、能力、有关认证程序和索取有关材料（公开性文件）。

1) The applicant organization has the right to inquire about the organization's qualifications, capabilities, relevant certification procedures and to obtain relevant materials (public documents).

2) 申请组织有权对本机构派出的认证审核组、审核计划提出异议，要求选派合适人选和商定现场审核时间。

2) The applicant organization has the right to raise objections to the certification audit team and audit plan dispatched by the organization, request the selection of suitable personnel and agree on the time of on-site audit.

3) 申请组织享有申诉、投诉权。申请组织对审核过程或审核结果有异议，可与审核组长协商解决。如不能达成一致意见，可于审核结束后 15 日内向运营部提出书面申诉。如对本机构的决议仍有异议，可进一步向机构公正性委员会、认证认可监督管理委员会 CNCA 或 CNAS、IAS 提出上诉。

3) The applicant organization has the right to appeal and complain. If the applicant organization has any objection to the audit process or audit results, it can negotiate with the audit team leader to solve the problem. If no agreement can be reached, a written appeal can be submitted to the Operation Department within 15 days after the end of the audit. If there is still any objection to the resolution of this institution, it may further appeal to the Institutional Impartiality Committee, the Certification and Accreditation Regulatory Commission CNCA or CNAS and IAS.

4) 申请组织有权对因机构原因造成的失密事件追究责任。

4) The applicant organization has the right to investigate the responsibility for the breach of confidentiality caused by the organization.

5) 申请组织有权对机构员工工作能力和服务态度进行投诉。

5) The applicant organization has the right to complain about the working ability and service attitude of the employees of the organization.

6) 如申请组织符合认证注册条件，则有及时获得管理体系认证证书的权利，并可在我机构官方网站查询证书信息。

6) If the applicant organization meets the conditions for certification and registration, it has the right to obtain the certificate of management system certification in time, and can check the certificate information on the official website of our organization.

1.2 义务

1.2 Obligations

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1) 申请组织需按申请认证领域要求建立管理体系，并充分试运行 3 个月以上。

1) The applicant organization shall establish a management system according to the requirements of the application certification field, and fully test run for more than 3 months.

2) 申请组织需如实填写认证申请表，提供相应申请资料，并对其真实性负责。

2) The applicant organization shall truthfully fill in the certification application form, provide the corresponding application materials, and be responsible for their authenticity.

3) 申请组织有责任确保组织的申请领域管理活动符合相关法律法规要求。

3) The applicant organization has the responsibility to ensure that the management activities of the organization in the field of application comply with the requirements of relevant laws and regulations.

4) 申请组织按规定的接受并配合机构对其实施文件审核、认证审核、监督审核和再认证审核。

4) The applicant organization shall accept and cooperate with the organization to implement document audit, certification audit, supervision audit and re-certification audit within the specified time.

5) 就审核过程中发现的不符合项，申请组织应采取有效的纠正措施，并接受审核组的跟踪验证。

5) The applying organization shall take effective corrective measures for the nonconformities found in the audit process, and accept the follow-up verification of the audit team.

6) 交纳合同约定的认证审核费用。

6) Pay the certification audit fee agreed in the contract.

7) 提供审核必要的工作条件及安排陪同人员。

7) Provide necessary working conditions for audit and arrange accompanying personnel.

8) 审核时提供真实、充分的信息。

8) Provide true and sufficient information during audit.

2、获证客户的权利和义务

2. Rights and obligations of the certified customer

2.1 权利

2.1 Rights

1) 享有合理使用认证证书、认证标志的权利。

1) Enjoy the right of reasonable use of certification certificates and certification marks.

2) 有权对机构员工工作能力和服务态度提出意见。

2) Have the right to put forward opinions on the working ability and service attitude of the staff of the organization.

3) 有权对机构派出的审核组、审核计划提出异议，要求选派合适人选和商定现场审核时间。

3) Have the right to raise objections to the audit team and audit plan dispatched by the organization, request the selection of suitable personnel and agree on the time of on-site audit.

4) 享有投诉、申诉权。获证客户对审核过程或审核结果有异议，可与审核组长协商解

| | | | |
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决，如不能达成一致意见，可于审核结束后 15 日内向运营部提出书面申诉。如对机构的决议仍有异议，可进一步向机构公证性委员会、认证认可监督管理委员会 CNCA 或 CNAS、IAS 提出上诉。

4) Enjoy the right of complaint and appeal. If the certified customer has any objection to the audit process or audit results, it can negotiate with the audit team leader to solve the problem. If no agreement can be reached, it can submit a written appeal to the Operation Department within 15 days after the audit. If there is still any objection to the decision of the institution, it may further appeal to the Notarization Committee of the Institution, the Certification and Accreditation Regulatory Commission (CNCA) or CNAS and IAS.

5) 有权提出认证范围扩大、缩小及注销认证的申请。

5) Have the right to apply for the expansion, reduction and cancellation of the certification scope.

6) 因机构的原因，给获证客户带来不良影响，获证客户有权依法追究机构的责任。

6) In case of any adverse impact on the licensed client due to the institution, the licensed client shall have the right to investigate the institution's liability according to law.

2.2 义务

2.2 Obligations

1) 获证客户应始终遵守认证的有关规定，在获证后应维持管理体系的持续有效。

1) The certified customer shall always comply with the relevant provisions of the certification, and shall maintain the continuous effectiveness of the management system after certification.

2) 获证客户在持证期间应按规定时间接受监督审核（两次现场审核的时间间隔不得超过 12 个月）。审核过程中发现的不符合项，获证客户应采取有效的纠正措施，并接受审核组对此进行的跟踪验证。

2) The certified customer shall be supervised and audited within the specified time during the certification period (the time interval between two on-site audits shall not exceed 12 months). The certified customer shall take effective corrective measures for the nonconformities found in the audit process, and accept the follow-up verification by the audit team.

3) 获证客户的地址、联系方式变更，法人代表和管理者代表更换及体系文件改版，应及时书面通知机构并修改体系文件。

3) If the address and contact information of the certified customer are changed, the legal representative and management representative are replaced, and the system documents are revised, the organization shall be notified in writing in time and the system documents shall be revised.

4) 获证客户在认证证书有效期内，如有可能影响管理体系持续满足认证标准要求的能力的事宜（包括：法律地位、经营状况、组织状态或所有权，获证管理体系覆盖的范围、管理体系和过程发生重大变更），或被行政主管部门处罚，或发生重大质量/环境/安全事故，或被重大投诉等不符合相关法律法规要求的情况，需立即报告机构。

4) During the period of validity of the certification certificate, if the certified customer has any matter that may affect the ability of the management system to continuously meet the requirements of the certification standards (including: legal status, operating status, organizational status or ownership, the scope covered by

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the certified management system, major changes in the management system and process), or is punished by the competent administrative department, or has a major quality/environmental/safety accident, Or major complaints that do not meet the requirements of relevant laws and regulations shall be reported to the institution immediately.

5) 获证客户应按规定正确使用认证证书、认证标志。

5) The certified customer shall use the certification certificate and certification mark correctly according to the regulations.

6) 获证客户应按规定及时交纳审核费用。

6) The certified customer shall pay the audit fee in time according to the regulations.

7) 当认证被暂停、撤消，或证书到期时，应立即停止使用认证证书和标志，停止涉及认证内容的宣传、广告等。

7) When the certification is suspended or revoked, or the certificate expires, the use of the certification certificate and mark shall be stopped immediately, and the publicity and advertising related to the certification content shall be stopped.

8) 允许给予机构该项认证资格的认证批准机构（CNCA）和认可机构（CNAS 或 IAS）在必要时查阅审核卷宗，以证明机构的审核工作符合认可准则。

8) The certification and approval authority (CNCA) and the accreditation body (CNAS or IAS) granting the certification qualification to the institution shall be allowed to consult the audit file when necessary to prove that the audit work of the institution conforms to the accreditation criteria.

9) 必要时，为到场的观察员（如认可评审员或实习审核员）提供便利。

9) Facilitate the presence of observers (such as accredited assessors or trainee assessors) when necessary.

10) 有义务接受国家认证认可监督管理委员会的例行检查、中国合格评定国家认可委员会或认可机构（IAS）的确认审核及地方主管认证业务部门的的不定期抽查。

10) Have the obligation to accept the routine inspection of the Certification and Accreditation Administration of the People's Republic of China, the confirmation audit of the China National Accreditation Service for Conformity Assessment or the accreditation body (IAS), and the random inspection of the local competent certification business department.

3、认证机构的权利和义务

3. Rights and obligations of the certification body

3.1 权利

3.1 Rights

1) 对获证客户，机构按规定的时间定期对其管理体系实施监督审核。

1) For the certified customer, the organization shall regularly supervise and audit its management system according to the specified time.

2) 对获证客户管理体系发生的重大调整或变动，机构应视其重要性决定是否实施附加审核，并收取相应的审核费用。

2) For the major adjustment or change of the certified customer management system, the institution shall decide whether to implement additional audit according to its importance, and charge the corresponding audit fees.

| | | | |
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3) 对每次现场审核（包括首次审核、监督审核、再认证审核、特殊审核），安排审核组对申请认证或获证客户管理体系进行检查和抽样，以确认组织的管理体系符合审核准则要求，并在不符合审核准则要求时采取了纠正措施。

3) For each on-site audit (including the first audit, supervision audit, re-certification audit and special audit), arrange the audit team to inspect and sample the management system of the customer applying for certification or obtaining certification, so as to confirm that the management system of the organization meets the requirements of the audit criteria, and take corrective measures when it does not meet the requirements of the audit criteria.

4) 机构有权要求申请组织、获证客户提供所有与相关方信息沟通的记录（包括投诉记录），以及根据管理体系标准或其它规范性文件要求采取纠正措施的记录。

4) The organization has the right to require the applicant organization and the certified customer to provide all the records of information communication with the relevant parties (including complaint records), as well as the records of corrective measures taken in accordance with the requirements of management system standards or other normative documents.

5) 机构在获证客户出现下列情况时，可实施提前较短时间通知客户后的审核：

5) The institution may implement the audit after notifying the customer in a short time in advance when the certified customer has the following circumstances:

- 获证客户因违反法规被政府质量监督、环境保护、安全生产行政主管部门处罚；
- The certified customer is punished by the administrative departments of quality supervision, environmental protection and safety production of the government for violating laws and regulations;
- 获证客户的质量、环境、职业健康安全、诚信、服务被其客户严重投诉；
- The quality, environment, occupational health and safety, integrity and service of the certified customer are seriously complained by the customer;
- 获证客户的证书因故被暂停，需要及时追踪；
- The customer's certificate is suspended for some reason and needs to be tracked in a timely manner;
- 获证客户的法律地位、经营状况、组织状态、所有权、体系覆盖的范围、联系地址或场所、管理体系和过程等发生较大变化，可能影响持续满足认证标准要求的事宜。
- The legal status, operation status, organization status, ownership, system coverage, contact address or place, management system and process of the certified customer have changed greatly, which may affect the continuous compliance with the requirements of the certification standards.

对于在后续监督审核中发现不能保持体系有效运行，发生重大质量/环境/安全事故等不符合相关法律法规要求的情况，或未按协议规定缴纳相应费用的组织，机构有权暂停或撤销获证客户的注册资格，机构及时以通知或其它方式通告对方，并发布暂停/注销信息。

In case of failure to maintain the effective operation of the system, major quality/environment/safety accidents and other situations that do not meet the requirements of relevant laws and regulations, or failure to pay the corresponding fees as stipulated in the agreement, the organization has the right to suspend or revoke the registration qualification of the certified customer, and the organization shall promptly notify the other party by notice or other means, and issue the suspension/cancellation information.

| | | | |
|---|--|-------------------------|-------|
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3.2 义务（责任）

3.2 Obligations (responsibilities)

1) 向申请认证组织提供公开性文件。

1) Provide public documents to the organization applying for certification.

2) 认证机构有责任向申请方说明经 CNAS 或 IAS 批准的认证范围，并对其颁发认证证书的公正性承担责任。

2) The certification body is responsible for explaining to the applicant the scope of certification approved by CNAS or IAS, and is responsible for the fairness of the certification certificate issued by it.

3) 拟派出的审核组成员需征得申请认证组织或获证客户的同意。

3) The members of the audit team to be dispatched shall obtain the consent of the organization applying for certification or the certified client.

4) 按机构规定的程序开展认证活动，向申请认证组织或获证客户及时提交审核计划，按约定时间实施现场审核并出具审核报告。

4) Carry out certification activities according to the procedures stipulated by the organization, submit the audit plan to the organization applying for certification or the certified customer in time, carry out on-site audit according to the agreed time and issue the audit report.

5) 遵守公正性与保密声明。机构承诺：除法律规定外，未经申请认证组织或获证客户书面同意，不得向任何第三方提供涉及生产、经营、技术等保密资料。

5) Comply with statements of impartiality and confidentiality. The organization undertakes that, except as provided by law, it shall not provide any third party with confidential information concerning production, operation and technology without the written consent of the organization applying for certification or the certified customer.

6) 申请认证组织的认证注册后，机构及时向其颁发认证证书并在 CNCA、机构网站公布获证客户的证书状态。

6) After applying for the certification registration of the certification organization, the organization shall issue the certification certificate to it in time and publish the certificate status of the certified customer on the CNCA and the organization's website.

7) 市场部负责建立获证客户目录并在机构网站保持有效认证的目录，目录中的内容至少包括每个获证客户的名称、相关的规范性文件、认证范围和地理位置或多场所认证范围内总部和所有场所的地理位置。获证组织可通过公司名称及证书号在网站上查询。如需查询其他获证组织的信息，需向机构市场部提出申请，经技术部同意批准后方可获取。

7) The Marketing Department is responsible for establishing a certified customer directory and maintaining a valid certified directory on the organization's website. The contents of the directory at least include the name of each certified customer, relevant normative documents, certification scope and geographical location or the geographical location of the headquarters and all sites within the scope of multi-site certification. The certified organization can check it on the website by its company name and certificate number. If you need to inquire about the information of other certified organizations, you need to apply to the marketing department of the organization, and you can get it only after the approval of the

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|---|--|-------------------------|-------|
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technical department.

8) 当认证要求有变更时，机构及时将变更的认证要求通知获证客户。在确定变更方式与生效日期之前，机构应考虑获证客户的意见。变更决定发布后，机构在适当的时间内应验证每个获证客户是否对其体系实施了必要的调整。

8) When the certification requirements are changed, the organization shall inform the certified customer of the changed certification requirements in a timely manner. The institution shall consider the views of the certified customer before determining the manner and effective date of the change. After the change decision is issued, the organization shall verify whether each certified customer has implemented the necessary adjustments to its system within an appropriate time period.

9) 获证客户在证书有效期内发生体系覆盖范围内的重大质量/环境/安全事故时，机构按照认证合同的规定负相应的法律责任。

9) In case of any major quality/environmental/safety accident within the scope covered by the system within the validity period of the certificate, the organization shall bear the corresponding legal liability in accordance with the provisions of the certification contract.

10) 机构持续关注获证客户的法律法规符合性，一旦发现获证客户的活动与相关法规要求不符合或有潜在的不符合时，有义务将这一信息及时通知获证客户，同时告之机构可能采取的具体措施。

10) The institution shall continuously pay attention to the compliance of the certified customer with laws and regulations. Once it is found that the activities of the certified customer are inconsistent with the requirements of relevant laws and regulations or have potential non-compliance, it is obliged to inform the certified customer of this information in a timely manner and inform the institution of the specific measures that may be taken.

11) 机构以适当方式（通过网站、通知、宣传媒体等渠道）将认证要求的任何变更通知获证客户，包括但不限于机构名称、地址、法人等内容的变更。

11) The organization shall inform the certified customer of any change in the certification requirements in an appropriate way (through the website, notice, publicity media, etc.), including but not limited to the change of the organization's name, address, legal person, etc.

12) 机构在其官方网站（<https://www.zpic.org.cn/>）公布有关获证客户所持证书的状态。

12) The organization publishes the status of the certificates held by the certified customers on its official website (<https://www.zpic.org.cn/>).