亿科检测认证有限公司 Eqo Testing and Certification Co., Ltd	审 核 *[signature]*	复 核 *[signature]*	批 准 *[signature]*	
认证审核程序 **Certification Audit Procedure**	编号		EQO-CP03	
	版本	A1	密级	中

1 目的 Purpose

本程序规定了对客户管理体系进行初次认证审核、监督审核、再认证、特殊审核、证书变更审核等的方法和流程作业要求。

This procedure provides the methods and process requirements for customer management system certification audit, including initial certification audit、surveillance audit and re-certification special audit, certificate audit changes.

2 范围 Scope

适用于从派审核组→方案→计划→现场审核→不符合判定→审核报告→认证决定推荐→发证的全过程。

It is applicable to the whole process from assigning the assessment team→ program→ plan→ On site audit→ non-conformity judgement→ audit report→ certification decision and recommendation→ Issuing of certificates

3 控制依据 Criteria

3.1《合格评定 管理体系审核与认证机构的要求 第1部分：要求》（GB/T 27021.1-2017/ISO/IEC 17021-1:2015/ CNAS-CC01:2015）＜ Conformity assessment—Requirements for bodies providing audit and certification of management systems-Part 1: Requirements ＞

3.2《合格评定 管理体系审核与认证机构要求 第3部分：实施质量管理体系审核及认证的能力要求》（GB/T 27021.3-2021/ISO/IEC 17021-3:2017/ CNAS-CC131:2017）＜Conformity assessment—Requirements for bodies providing audit and certification of management systems-Part 3: Competence requirements for auditing and certification of quality management systems ＞

3.3《合格评定 管理体系审核与认证机构要求 第2部分 实施环境管理体系审核及认证的能力要求》（GB/T 27021.2-2021/ISO/IEC 17021-2:2016/CNAS-CC121:2017）＜Conformity assessment—Requirements for bodies providing audit and certification of management systems-Part 2: Competence requirements for auditing and certification of environmental management system ＞

3.4《ISO/IEC 17021-1 在职业健康安全管理体系 (OH&SMS)认可的应用》IAF MD 22:2018 / CNAS-SC125:2020 <Application of ISO/IEC 17021-1 in Occupational Safety and Health Management System (OH&SMS) certification>

3.5 《合格评定 管理体系审核认证机构要求第10部分：职业健康安全管理体系审核认证能力要求》（GB/T 27021.10-2021/ISO/IEC TS 17021-10:2018/CNAS-CC125:2018）<Conformity assessment—Requirements for bodies providing audit and certification of management systems-Part 10: Competence requirements for auditing and certification of occupational health and safety management systems>

4 职责与作业程序 Responsibilities and procedures

4.1 职责 Responsibilities

4.1.1 审核部委派人员负责编制与实施审核方案；The audit department assign one person to compile and Implement the audit program

4.1.2 审核组长负责组织实施现场审核，编制审核报告和不符合报告的追踪认证；Audit leader is responsible for leading on-site audit、creating audit report and following up non-conformance report

4.1.3 审核员负责实施现场审核，负责审核发现并开出不符合报告。Auditor is responsible for on-site audit、audit findings and creating non-conformance report

4.2 认证审核方案策划 Certification audit program planning

4.2.1 初次认证审核 Initial certification audit

4.2.1.1 对于初次认证申请的客户，其申请及申请评审规定详见《管理体系认证申请及评审控制程序》的要求。在受理客户的初次申请后市场部业务助理将客户《认证申请表》和客户的管理体系文件化信息交至审核部，由审核部安排相应审核方案管理人员。For the initial certification client，the application and assessment criteria are stated clearly in<management system certificate application and assessment procedure>. After accepting customer 's first application，market department assistant submits the<certificate application form>and customer's management system documentation information to audit department, and audit department will assign audit program owner

4.2.1.2 认证审核方案制作 certification audit program creating

由审核方案管理人员依据受审核组织文件等信息对该项目的初次认证、年度监督审核和再认证的条款进行规划，明确审核重点和要求。审核方案应包括两阶段的初次审核、第一年与第二年的监督审核，以及第三年的认证证书到期前的再认证审核，审核方案表将在每次年度监督审核和再认证审核前予以

电子档调出，作为编制年度监督审核和再认证的计划重要依据之一，应归在历次审核档案内。审核方案管理人员若考虑已授予客户的认证或其他审核，对审核方案作任何调整时，应搜集足够的、可查证的信息，以证明调整的合理性，并予以记录。The audit program owner is responsible for planning and defining key points and requirements of the initial certification audit、annual surveillance audit and re-certification clauses, according to customer's documentation. The audit program contains a two-stage initial certification audit、surveillance audit in first and second years and re-certification in the third year prior to expiration of certification.The Audit program will be searched and copied before annual surveillance audit and re-certification，as an important input for every year audit plan，and it should be saved in every year's audit archives。The audit program owner should collect and record enough information and evidence to verify the rationality before adjusting any of the program.

4.2.2 监督审核 surveillance audit

4.2.2.1 由市场部业务负责依照年度监督审核基本周期及《认证审核方案》等资料，在实际审核月的至少前 30 天，发出《获证企业管理体系监督/再认证审核通知单》和《客户管理体系变更情况调查表》联系客户商定具体审核日期以及书面调查客户管理体系变更事实情况。监督审核每年至少应执行一次。初次认证后的第一次监督审核日期应在认证决定日期起 12 个月内进行。According to the cycle time of annual surveillance audit and<certificate audit program>，The market department staff send out<certified client management system surveillance and re-certification notification form>and<Customer management system change questionnaire>to customer prior to actual audit month 30 days at least，to determine specific audit date and investigate the management system changing status. Surveillance audit shall be conducted at least once a calendar year. The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date.

4.2.2.2 监督审核的认证审核方案应包括 certificate audit program for surveillance audit is including：

a) 内部审核及管理评审 internal audit and management review；

b) 对于先前审核时已识别的不符合事项所实施措施的评审 assess the non-conformity items which were identified in previous audit；

c) 投诉的处理 complaint disposition；

d) 关于管理体系达成已认证客户目标的有效性 the effectiveness of management system reaching certified customer objective；

e) 针对已规划的持续改善活动的进展 continuous improvement progress；

f) 管理体系覆盖的活动涉及法律法规规定的，是否持续符合相关规定 Do the management system

activities accord with the provisions by laws and regulations？

g) 任何变更的评审 any changing assessment；

h) 标志的使用及/或任何其他对认证的引用 use logo and/or quote certificate；

i) 若客户采用轮班作业，需考虑其活动 need consider the activities about work in shifts。

4.2.2.3 当客户有证书修改需求的，市场部提供《客户管理体系变更情况调查表》给客户正式书面申请确认。When customer needs to modify the certificate，the market department will provide<Customer management system change questionnaire> to customer，and customer fill out the form officially and get it signed and stamped on the paper form

4.2.2.4 市场部业务助理跟踪、整理检查上述提交的资料完整后提交给审核部。The market department assistant follows up and check the materials above, then submits to audit department

4.2.2.5 审核部委派人员依照《认证审核方案》、《获证企业管理体系监督/再认证审核通知单》和《客户管理体系变更情况调查表》等资料，编制《审核派组委任书》，签署委任的相关规定详见 4.3 的要求。Audit department assigns staff create<Audit team appointment> according to<certificate audit program>、<certified client management system surveillance and re-certification notification form>and<Customer management system change questionnaire>,the signature and assignment are states in 4.3 requirements

4.2.3 再认证审核 Re-certification audit

4.2.3.1 再认证审核是认证获证客户管理体系的全面、持续有效性，以及其认证范围的持续相关性与适应性。包括对管理体系文件化信息的审查和现场评审，公司再认证审核企业应在认证证书到期前进行，在认证到期后，如果审核部能够在 6 个月内完成未尽的再认证活动，则可以恢复认证，否则应至少进行一次第二阶段才能恢复认证。Re-certification audit is to verify licensed enterprises management system integrality and effectiveness and certificate scope adaption. Including assessment the documentation and on-site observation，Re-certification audit must be conducted prior to the expiry date of certificate；After the expiration of the certification, if the audit department can finish re-certification within 6 months, then the certification can be renewing，or else, stage 2 is needed at least.

4.2.3.2 在客户认证证书有效期满前至少 3 个月，市场部应发《获证企业管理体系监督/再认证审核通知单》与《认证申请表》、《认证报价单》并请客户确认回传。市场部收到客户同意进行再认证的回传资料后，经申请评审人员评审确认后，制作《认证合同书》请客户签署。市场部跟踪客户签名盖章后的合同，取得客户签署的合同，合同审查依据《管理体系认证申请及评审控制程序》要求执行，审查通过后审核部将开展相关工作。The market department send the <Certified client management system

surveillance and re-certification audit notification form>and< Certification Application Form >、<Certificate Quotation>to customer prior to expiration of certification 3 months at least，let customer confirm and feedback. After receiving the agreement feedback，market will create<Certification contract>and get it signed from customer. Then the market department will check this agreement according to<management system certificate application and review procedure>requirements, if the result is passed, and audit department will carry out the relevant work

4.2.3.3 审核部对该获证客户管理体系 3 年来的周期、法规遵守和体系 2 次监督审核等的基本情况做一个评估。建立《客户再认证前管理体系运行情况评审报告》。（注意，评审结果可能将导致审核方案作必要的变更）。The audit department make an assessment to certified client about the 3-years cycle management system running, like regulation and compliance and surveillance audit status, and create a <management system review report prior to re-certification>（note：the review result may lead to change the audit program）

4.2.3.4 当客户有证书修改需求的，市场部将提供《客户管理体系变更情况调查表》，给客户正式书面申请确认。When certified client needs to modify the certificate，the market department will provide<Customer management system change questionnaire>to customer and get it signed and stamped formally

4.2.3.5 市场部业务助理跟踪、整理检查上述回收的资料后，完整提交给审核部助理。The market assistant follows and collect all the materials mentioned above, and submit to audit department assistant

4.2.3.6 由审核方案管理人员依照《认证审核方案》、《获证企业管理体系监督/再认证审核通知单》、《客户管理体系变更情况调查表》、《客户再认证前管理体系运行情况评审报告》等数据，签署《审核派组委任书》。签署委任的相关规定详见 4.3 的要求。The audit program owner signs <Certification audit program> based on<certificate audit program>、<certified client management system surveillance and re-certification notification form>、<Customer management system change questionnaire>、<management system review report prior to re-certification>、issued<Audit team appointment>,and the signature and assignment are states in 4.3 requirements.

4.2.3.7 三年认证周期起始于认证或再认证决定的时间。审核方案的决定及任何后续的调整，应考虑客户组织的规模，其管理体系、产品与过程的范围与复杂性，以及所展现管理体系有效性的水平与任何先前审核的结果。 当管理体系、客户或管理体系运作的环境有重大变更（例如法律上的变更）的情形时，再认证审核活动可能需要有第一阶段审核。The 3-years certificate cycle begins with the initial certificate or re-certificate decision. The determination of the audit program and any subsequent adjustments

shall consider the size of the client, the scope and complexity of its management system，products and processes as well as demonstrate level of management system effectiveness and the results of any previous audits。Re-certification audit activities may need to have a stage 1 in situations where there have been significant changes to the management system, the organization, or the context in which the management system is operating（eg, changes to legislation）.

4.2.4 特殊审核 special audits

如客户在执行认证审核时同时伴随其他情况发生，例如：配合公司进行见证审核而提前进行认证审核，或是认证过程如发现客户提供的事件信息有严重事故或违规，证明体系严重失效，无法符合认证要求时，则在下达《审核派组委任书》时审核目的需同时勾选"特殊审核"字段，审核组长同步勾选《现场审核计划》及《管理体系审核报告》"特殊审核"字段，明确审核类型。If the client is happening other situation during the verification audit, such as conducting verification in advance with our organization for witness audit, or if the verification process finds that the information provided by the customer has serious accidents or violations, the system is seriously invalid and cannot be met. When verification is required, eg: witness audit ahead of the original schedule，then in the issue of the<Audit team appointment>, we must also check the "special audit" column，and the audit leader check the "special audit" column in the<on-site audit plan> and<audit report>, to define audit type.

4.2.5 证书变更审核 Issued Certificate Change Request Form audit

如客户在执行监督/再认证审核时同时伴随其他情况发生，例如组织更名、地址变更、认证标准变更等情况，则在下达委任书时审核目的需同时勾选"证书变更"相应字段，审核组长同步勾选现场审核计划及管理体系审核报告"证书变更"字段，明确审核类型。如未到监督/再认证审核时申请证书变更，获证企业应填写《已签发认证证书变更申请单》进行申请，由办公室评审后确认是否进行现场审核。If the customer carries out the follow-up / re-verification of audit at the same time with other conditions, such as organizational change of name, address changes, changes in the verification standards, etc., issued a written appointment when the purpose of the audit should also check the <Issued Certificate Change Request Form> the corresponding field, audit The team leader synchronously checks the <Issued Certificate Change Request Form> field of the on-site audit program and management system audit report to clarify the type of audit. If do not apply for a Issued Certificate Change Request Form when tracking/revalidating the audit, the certificated company should fill out the to apply, and after the review by the office, confirm whether to perform on-site audit.

4.3 审核计划 audit plan

4.3.1 公司应根据认证项目实际情况识别所需要的审核活动，以展现客户管理体系符合所选择的标准或其他规范性文件要求，并确定针对完整的认证周期的审核方案，并应确保在审核方案中所识别的每次审核制定审核计划。The audit activities should be identified on the basis of certificate project actual situation，to verify customer's management system is conform to the standard or other normative document requirements and determine audit program of integrated certificate cycle, and ensure that an audit plan is established prior to each audit identified in the audit program.

4.3.2 确认审核目的、范围与准则 confirm audit purpose、scope、criteria

4.3.2.1 审核目的应说明审核完成的项目，并应包括以下内容 audit purpose should declare the items to be finished in the audit，and including the following contents：

a) 确定客户管理体系或其部分内容与审核准则的符合性；Determine that the customer's management system or its partial contents is in accord with the audit criteria

b) 确定管理体系确保客户满足适用的法律法规及合同要求的能力；Determine the management system can ensure that customers meet the applicable laws, regulations, and contractual requirements

备注：管理体系认证审核不是合规性审核；Note: management system certification audit is not compliance audit

c) 确定管理体系在确保客户可以合理预期实现其规定目标方面的有效性；Determine the effectiveness of the management system in ensuring that the customer can reasonably expect to achieve its stated objectives.

d) 适用时，识别管理体系的潜在改进区域。When applicable, identify the potential improvement areas of the management system.

4.3.3 审核范围应说明审核的内容与界限，例如拟审核的场所、组织单位、受审核的活动及过程。当初次或再认证过程包含一次以上审核（例如覆盖不同场所的审核）时，单次的审核范围可能并不覆盖整个认证范围，但整个审核的认证范围应与认证文件中的范围一致。The audit scope shall explain the contents and limits of the audit, such as the places、the organization unit, the audit activities and process. When initial or re-certification process contains one or more audit (eg：the audit covers different places), the single audit scope may does not cover the entire scope of certification, but the certification audit scope should be consistent with the scope of certification documents.

4.3.4 审核准则应被用作确定符合性的依据，并应包括：The audit criteria should be used as a basis for determining conformity and it should include：

- 管理体系规定的规范性文件的要求；Requirements for regulatory documents specified in the

management system

- 客户制定的管理体系的过程和文件；Processes and documents for the management system developed by the client

4.3.5 审核范围与准则，包括任何变更，应与客户讨论后确定。The audit scope and criteria including any changes shall be determined upon discussion with the client

4.3.6 审核计划的准备:审核计划应与审核目的和范围相适应。审核计划应至少包括或引用：The audit plan preparation: the audit plan should be adapted to the audit purpose and scope. The audit plan should at least include or refer：

a) 审核目的 audit purpose；

b) 审核准则 audit criteria；

c) 审核范围，包括识别拟审核的组织和职能单元或过程 audit scope， including identifying the organize and function or process；

d) 拟实施现场审核活动（适用时，包括对临时场所的访问和远程审核活动）的日期和场所；on-site audit activities date and area（When applicable, including access to temporary sites and remote audit activities）。

e) 现场审核活动的预计时间及期间；on site audit scheduled time and period

f) 审核组成员及与审核组同行的人员（例如观察员或翻译）的角色和职责。其中：审核员应标明注册证书号及专业代码；技术专家应标明专业代码、技术职称或职务，如果在职应注明其服务的单位。The roles and responsibilities of the audit team members and peer staff (such as observers or translator). The auditor should indicate the registration certificate number and professional code; technical experts should indicate the professional code, technical title or position, and the company he serves.

4.3.7 编制审核计划 prepare audit plan

4.3.7.1 审核组长按《认证审核方案》表中的要求编制《现场审核计划》。如有多现场，对多场所可采用抽样审核，同时明确现场抽样，抽样方法见《认证审核方案》的规定。The audit leader prepares<on site audit plan>according to the requirements of<certificate audit program>。Sampling audit can be used for multi-sites，and the sampling methods can refer to provisions in<certification audit program>

4.3.7.2 审核组长应制定书面的审核计划交审核组实施。如果组长不是该专业的专业审核员，应与专业审核员沟通。在审核活动开始前，审核组应将书面审核计划交申请组织确认。遇特殊情况临时变更计划时，应及时将变更情况书面通知受审核的申请组织，并协商一致，审核计划应与审核目的和范围相适应。Audit leader shall make written audit plan for the audit team to carry out. If leader auditor is not the technical auditor of sector, the lead auditor shall communicate with technical auditor. Before the audit

activity, the audit team shall confirm the written audit plan with the applying organization. If there is special situation to change the audit plan, the audit team shall timely inform the auditee of the situation of the changes in written notice, and make agreement that the audit plan shall fit in the audit objectives and scope.

4.3.7.3 通常情况下，初次认证审核、监督审核和再认证审核应在申请组织申请认证的范围涉及到的各个场所现场进行。如果管理体系包含在多个场所进行相同或相近的活动，且这些场所都处于该申请组织授权和控制下，公司可以在审核中对这些场所进行抽样，但应制定合理的抽样方案以确保对各场所管理体系的正确审核。如果不同场所的活动存在根本不同、或不同场所存在可能对管理体系产生显著影响的区域性因素，则不能采用抽样审核的方法，应当逐一到各现场进行审核。Under normal situation, initial certification, surveillance and certification audit shall be carried out at the onsite place that the scope involved. If management system include carry out the same activities or similar activities at multisite, and all these sites are under the authorization and control by the applying organization, the certification body shall sample audit, but shall make reasonable sample plan to ensure the correct audit for the management system of each site. If the different site has different activity, or different site has area factor which might has obvious influence on management production, then the sampling audit can't be adopted, the audit team shall audit each site.

4.3.7.4 为使现场审核活动能够观察到产品生产或服务活动情况，现场审核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。由于产品生产的季节性原因，在每次监督审核时难以覆盖所有产品的，在认证证书有效期内的监督审核需覆盖认证范围内的所有产品。To make the onsite audit activities observe the products production or service activities situation, onsite audit shall be arranged when the certification scope coved products or service activities are being carried out normally. Because of seasonal reason of the products production, if each surveillance can't cover all the products, all the surveillance audit shall cover all the products covered by the certification scope in the validity period of certification.

4.4 审核组的委任 appointment of audit team

4.4.1 通用原则 general principal

4.4.1.1 审核方案管理人员在决定审核组的规模和组成时，应考虑下列因素：When determining the size and composition of the audit team，the audit program owner should consider the following factors：

a) 审核目的、范围、准则与预计的审核时间；The audit purpose, scope, criteria and the estimated time；

b) 该审核是否为结合、联合或一体化审核；whether it is combined, joint or integrated audit;

c) 实现审核目的所需的审核组整体能力；Audit team's overall ability to achieve the audit objectives;

具体原则如下：审核组中至少有 1 人具备对应的（组别、小类）专业能力资格；针对 QMS/EMS/OH&SMS

（高中低、有限、特殊风险）专业判定到《认证业务技术领域划分表》的专业组别；专业审核员具有了解认证范围内的产品、过程或服务的能力，以提供可信任的审核；审核组具有对认证拟涉及的专业活动有适当的技术（质量、环境与职业健康安全）和风险方面的知识；Specific principles are as follows: At least 1 person in the audit team has the corresponding (group, sub-category) professional competence qualification; for QMS/EMS/OH&SMS (high, medium, low, limited, special risk) professional judgment to the professional group of the <Certification Business Technology Field Division Table> The professional auditor has the ability to understand the product, process or service within the scope of certification to provide a credible audit; the audit team has the appropriate skills (Quality, Environmental and Occupational Health and Safety) and knowledge of risk.

d) 认证要求(包括任何适用的法律、法规或合同要求)；Certification requirements (including any applicable laws, regulations or contractual requirements)

e) 审核组具备适宜的审核语言与文化能力；The audit team have appropriate audit language and cultural ability

f) 审核小组成员是否曾经审核该客户的管理体系；Whether the audit team members have audited the management system of the customer previously?

注：结合审核或联合审核的审核组长应至少对一个标准有深入的知识，并了解该审核所使用的其他标准。

Note: the audit leader in combined audit or integration audit should have thorough knowledge on a standard at least, and understand the other standards used in the audit

4.4.1.2 若无相应专业审核人员，则需配备技术专家，专业判定原则同审核员要求。If there is no corresponding specialty auditor staff, it is necessary to assign technical experts, the principle of determination is the same with the auditor requirements

4.4.1.3 当多个审核员具备上述能力所委派时，下达委任人员应考虑，所拟审核人员身体状况（如是否适宜出差和异地气候等）以及审核任务平均情况来安排。When there are several auditors with the ability to delegate, the appointment should consider the physical condition of proposed audit staff (eg: the suitability of travel and climate, etc.), and his auditor's work loading

4.4.1.4 被委任的审核组成员必须配合调度，除非出现 4.4.1.3 的情况，应在个人接到委任书 1 日内向下达委任的人员提出。The audit team members shall be appointed to cooperate with the schedule, unless the case of 4.4.1.3, the person shall propose within 1 days after receiving the appointment letter.

4.4.1.5 当受审核组织对审核组成员全部或部分有异议的，应重新依据以上各项要求和条款下达《审核

派组委任书》。When the audited organization have any objections on the audit team entirely or partially, the company should re-assign<Audit team appointment>.

4.4.2 审核组的公正性保证 The impartiality guarantee of the audit team

4.4.2.1 下达委任人员必须去了解和证实：The issued appointed person must understand and confirm:

a) 被委任的所有审核组成员在两年内无参与过受审核方的体系咨询活动；All audit team members appointed have not participated in the advisory activities in audited organization within 2 years

b) 审核组的任一成员在两年内非受审核方的雇员。Any member in the audit team have not employed in audited organization within two years

4.4.2.2 被委任的审核组所有成员应对认证审核的公正性及保密性做出相应承诺。All members of the audit team shall make a corresponding commitment to the impartiality and confidentiality of the certification audit

4.4.3 专业能力 Professional competence

4.4.3.1 审核组长与审核员所需的知识与技能可以通过技术专家和翻译人员补充。技术专家和翻译人员应在审核员的指导下工作，使用翻译人员时，翻译人员的选择要避免他们对审核产生不正当影响。The knowledge skills that the audit team leader and auditor required can be replenished by technical experts and translators。 Technical experts and translators should work under the guidance of the auditor, translators have to avoid undue influence in the audit

注：技术专家的选择准则根据每次审核的审核组和审核范围的需要为基础确定。Note: the selection criteria of the technical experts are determined based on the needs of the audit team and the scope of the audit

4.4.3.2 对于审核专业能力需要聘用专家的项目，在实施审核前与客户就技术专家在审核活动中的作用达成一致，审核组长应安排专家在现场审核前进行一次对审核组所有人员的专业知识、法规等的培训。由组长建立填写完整的<审核前专业培训记录表>。（初次认证审核的二阶段的专业培训，也可以在第一次现场审核前的专业培训一并进行。）For the audit programs needing to hire experts, it should be reached an agreement with customers in prior to the implementation of the audit, the audit leader should arrange experts give training to all auditors on professional knowledge、experience and regulations, and keep the records in<pre-audit professional training record form>（The professional training for the second stage of initial certification audit can be involved in the first on-site audit.

4.4.3.3 在审核计划和实际审核时，技术专家不应担任审核组中的审核员。技术专家应由审核员陪同。Technical experts shall not act as an auditor in the audit plan and the actual audit. Technical experts should

be accompanied by the auditor

4.4.3.4 实习审核员可以参与审核，此时要指派一名审核员作为评价人员。评价人员应有能力接管实习审核员的任务，并对实习审核员的活动和审核发现最终负责。Auditors-in-training may participate in the audit, provided an auditor is appointed as an evaluator, the evaluator shall be competent to take over the duties and have final responsibility for the activities and findings of the auditor-in-training.

4.4.3.5 审核组长在与审核组商议后，应向每个审核组成员分配对特定过程、职能、场所、区域或活动实施审核的职责。所进行的分配应考虑到所需的能力、高效地使用审核组以及审核员、实习审核员和技术专家的不同作用和职责。在审核进程中，为确保实现审核目的，可以改变工作分配。The audit team leader in consultation with the audit team, shall assign to each member responsibility for auditing specific processes, functions, sites, areas or activities. Such assignments shall take into account the need for competences, and the effective and efficient use of the audit team, as well as different roles and responsibilities of auditors, auditors-in training and technical experts, Changes to the work assignments may be made as the audit progresses to ensure achievement of the audit objectives.

4.4.4 审核时间的确定 Audit time determination

4.4.4.1 审核助理在接到审核方案管理人员编制的《审核派组委任书》后，制作《审核通知书》发给客户，告知客户预计的审核时间及审核组成员，当客户对《审核通知书》内容无疑义时，则由审核助理通知审核组长制作审核计划发给受审核方进行后续的工作。若有异议则将消息回馈给审核组长，由其与受审核组方及审核组成员沟通调整行程。调整好后由审核组长制作审核计划发给客户，并告知审核助理将该行程录入公司的管理系统。When audit assistant receives the<Audit team appointment> from audit program owner，he will create the<audit notice> to customer，to inform customers expected audit time and members of the audit team, when customers have no doubt on the contents of the notice form, and audit assistant will inform the audit leader to create   audit plan and sent to the audited organizations. If there is objection，he will feedback the information to the audit leader, communicate and adjust the itinerary. After the adjustment，the audit leader remake the audit plan to the customer, and inform the audit assistant to input into company's management system.

4.4.4.2 初次认证审核的第一阶段可以是在组织的现场完成。据具体情况，也可以在非现场完成。不在现场进行的第一阶段要满足文件《审核人日确定准则》相关规定。The first stage of the initial certification audit can be completed at the site of the organization. According to the specific circumstances, it can also be not completed at the scene. But the non-site first stage must meet the requirements of relevant files<Audit man-day calculation criteria>.

4.4.4.3 不到现场进行一阶段时，审核组应完成文件评审和索取管理体系全部的相关资料（申请书上出的包括资格证明/以及内部审核、管理评审报告），以确定审核范围，体系策划的合理性，并了解方针、目标及适用法律法规收集，内部审核、管理评审的实施情况； When first stage is not conducted on site, the audit team should finish all the documents listed in application form including the qualification certificate /internal audit, management review report，to determine the scope of the audit, planning system rationality and the policy, objectives and applicable laws and regulations collection, implementation of internal audit and management review.

4.4.4.4 初次审核无论是否进行一阶段现场，都必须编写《一阶段审核报告》，并与《管理体系文件评审报告》交给审核方案管理人员确认； whether first stage is conducted on site or not, the audit leader must prepare<stage-1 audit report>and<Management system document review report>，and submit to the audit program owner to confirm.

4.4.4.5 未被指派为审核员的审核组成员（即技术专家、翻译员、观察员和实习审核员）所花费的时间不应计入上面所确定的审核时间。注：使用翻译人员可能需要额外增加审核时间 The time taken by the audit team members (i.e. technical experts, interpreters, observers and trainee auditors) shall not be included in the audit time as determined by the audit team Note: using translator may require additional audit time.

4.4.4.6 客户管理体系的审核包含在不同地点的相同活动时，如果使用多场所抽样，则抽样要求依据文件《多场所组织管理体系审核与认证规定》的要求执行。When the customer management system contains the same activities in different locations, if we use multi -site sampling, the sampling requirements should be based on the document,<Regulations on Audit and Certification of Multi-site Organizational Management System>.

4.4.4.7 审核组长在现场应查验企业资格，实际人数如果与《认证审核方案》载明的人数相差较大时必须向审核助理汇报，并由审核部与市场部协商后增加现场审核人日。Audit leader at the scene shall examine the qualifications of the customer, If the actual number differs significantly from the number stated in the "Certification audit program" he must report to the audit assistant, and audit department and market department will discuss and increase on-site audit days.

4.4.5 审核小组任务的沟通 communication in audit team

4.4.5.1 审核部应将《审核通知书》及时传达给客户知晓，并在现场审核前应告知审核组人员，召开临时审核组会议，按照计划分配职责，确保审核组人员了解审核时间、部门安排及要求审核组成员在检查和认证客户与管理体系标准相关的结构、方针、过程、程序及相关文件的需重点关注的环节，以此来决定客户的认证范围符合全部要求，确定客户组织有效地建立、实施并保持了管理体系过程和程序，

以便为建立对客户管理体系的信任提供基础；并告知客户其方针、目标的任何不一致，以使其采取措施。

The audit department shall send the<audit notice>to the customer to let them know, and held a provisional audit team meeting, assign responsibilities. Ensure that audit team members understand the time, departments arrangements and require the members check and verify customer management system and standard structure, policy, process, procedures and related documents which need to focus on, so as for to assess the certification scope meets all the requirements, and determine the customer organization effectively establish, implement and maintain a management system processes and procedures, so as to provide a basis trust of the clients management system; and inform the customers any inconsistency of its policy, objectives and targets，and take actions when necessary.

4.4.5.2 当遇到需要进行第一阶段审核时，原则上由组长进行文件评审工作，也可以是组长指定某审核成员进行文件评审。When first stage audit is needed，the leader does   the document review work, it can also be designated audit members as   by the leader.

4.4.6 审核小组成员信息的通报 audit team members information notification

当客户有请求时，审核部应提供审核派组委任书上每位成员的背景信息，并给客户留出足够的时间，以使客户能够对某一审核组成员的任命表示反对，并在反对有效时审核部能够重组审核组。When customer requested, the audit department should provide each auditors' background information，to let the customer have enough time to propose objection of audit team, and audit department will re-organize audit team if the objection is accepted.

4.5 执行现场审核 conduct on-site audit

4.5.1 本文件规定了执行现场审核过程的相关要求。本过程应在审核开始时，举办一场首次会议，于审核结束时，举办一场末次会议。

This section provides for the implementation requirements of the site audit process. This process should held an open meeting at the beginning of the audit, and a close meeting at the end of the audit.

当审核的任何部分以电子手段实施时，或拟审核的场所为虚拟场所时，公司应确保由具备适宜能力的人员实施此类活动。在此类审核活动中获取的证据应足以让审核员对相关要求的符合性做出有根据的决定。

When the audit of any part is implemented in electronic ways, or the places of the audit for virtual places, EQO should ensure the auditors have appropriate ability to implementation such activities. Evidence obtained in such audit activities should be sufficient to allow the auditor to make a decision based on the

compliance of the relevant requirements

注："现场"审核可以包括对包含管理体系审核相关信息的电子化场所的远程访问。也可以考虑使用电子手段实施审核。

Note: the "on site" audit may include remote access to electronic sites in the management system audit. It can be also considered the use of electronic means to implement the audit.

4.5.2 审核组到达客户现场后，在计划规定的时间，审核组长应与客户的管理层(适用时，还包括拟审核职能或过程的负责人员)共同召开首次会议，审核组长按照《会议签到表》附录审核会议指引要求召开首次会议，并要求审核组及参加首次会议的客户人员签到。会议目的是简要解释将如何进行审核活动，详略程度可与客户对审核过程的熟悉程度相一致。

When audit team arrived at the customer site，the audit leader should held an open meeting with the customer management as the audit plan and audit leader provides the<Meeting Sign-in sheet>and requested the audit team and participate sign. The purpose of the meeting is to briefly explain how the audit activity will be carried out. The detailed degree can be consistent with the customer's familiarity with the audit process.

4.5.3 审核中的沟通 communication in audit

4.5.3.1 在审核中，审核组应定期评估审核的进程，并沟通信息。审核组长应在需要时在审核组成员之间重新分配工作，并定期将审核进程及任何关注告知客户。In the audit, the audit team should regularly assess the audit process, and communicate information. The audit team leader shall re assign the work if needed, and shall regularly tell audit process and any concerns to the customer.

4.5.3.2 当可获得的审核证据显示审核目的无法实现，或显示存在紧急和重大的风险（例如安全风险）时，审核组长应向客户（如果可能还应向公司审核部）报告这一情况，以确定适当的行动。该行动可以包括重新确认或修改审核计划，改变审核目的或审核范围，或者终止审核。审核组长应向公司审核部报告所采取行动的结果，并填写《管理体系变更申请表》或《现场审核异常处理表》。When the available audit evidence shows audit can't achieve the purpose, or showed potential urgent and significant risk (e.g. a security risk), the leader should report to the customer (he should report to audit department if possible) the situation，to determine the appropriate action. The action may include a re confirmation or revision of the audit plan, the change of the audit purpose or scope, or the termination of the audit. The audit team leader shall report to the Audit Department the result of the action taken. Fill in the < Management System Change Application Form> or < Exception Handling Form for On-site Audit>.

4.5.3.3 如果在现场审核活动的进行中发现需要改变审核范围，审核组长应与客户审查该需要，并填写《管理体系变更申请表》向公司审核部报告。从而确定是否需要重新确认或修改审核计划，更改审核

范围。If the audit scope found in audit activity needs to be changed, the audit team leader should review the requirements with the customer, fill in the < Management System Change Application Form> and report to the audit department. To determine whether he need to re confirm or modify the audit plan, or change the scope of the audit.

4.5.3.4 在监督审核活动中如果符合以下条件可以依据审核组长所作之正面结论，不用进一步独立审查，维持客户的认证：In the supervision audit activities, if following conditions can be used as audit leader's positive conclusion, then no further independent review is needed to maintain the customer's certification:

  a) 审核过程中遇到任何可能导致暂停或撤销认证之不符合事项或其他状况，审核组长应向公司总经理报告，由其委派本项目的认证决定人员，办理审查，以决定是否能够维持认证。The audit process encountered any non-conformity leading to temporary termination or expiration of certification, the audit leader should report to GM of EQO Company, and the certification personnel will review, to decide whether to maintain certification.

  b) 当该次监督审核小组中有具有专业大类资格的见证审核员，可由其确认认证活动是否可以有效地运作 when the supervision audit team has a professional qualification witness auditor, it can be confirmed by him whether the activity can effectively operate.

4.5.3.5 遇到多日审核计划，审核组应每天召开一次组内交流会议，讨论当天的审核发现。同时与客户进行沟通，并商讨明天的审核计划和审核重点。

If the audit plan cover several days, audit team shall have meetings every day, to discuss the audit findings every day .And Communicating with clients, discussing the next day's audit plan and key points.

4.5.4 观察员与向导 observer and guide

4.5.4.1 审核部与客户应在实施审核前就审核活动中观察员的到场及理由达成一致。审核组应确保观察员不对审核过程或审核结果造成不当影响或干预。

注：观察员可以是客户组织的成员、咨询人员、实施见证的认可机构人员、监管人员或其他有合理理由的人员。

The audit department and the customer shall agree on the presence and reasons of the observers in the audit activities before the implementation of the audit. The audit team shall ensure that the observer does not affect or interfere with the audit process or the results of the audit.

Note: the observer may be a member of a customer's organization, a member of the advisory body, a witness to the implementation of the accreditation bodies, regulators or other personnel with reasonable grounds

4.5.4.2 审核过程中每位审核员应由一名向导陪同，除非审核组长与客户另行达成一致。为审核组配备

向导是为了方便审核。审核组应确保向导不影响或干预审核过程或审核结果。

Each auditor should be accompanied by a guide, unless the audit team leader and customers reach a consensus. The audit team is arranged with a guide is to facilitate the audit. The audit team should ensure that the guide does not affect or interfere with the audit process or the results of the audit

注1：向导的职责可包括：Note 1: the guide's duties may include:

a) 面谈的接洽及约定时间； interview and appointment time

b) 安排巡厂或组织的特定部分；a specific part of the plant or the arrangement of visits;

c) 确保审核组成员知道并遵守关于现场安全和安保程序的相关规则；to ensure that the audit team members are aware of and comply with relevant rules regarding site safety and security procedures.

d) 代表客户观察审核及提供审核员要求的说明或信息；On behalf of the customer to observe the audit and provide the audit requirements of the instructions or information.

e) 应审核员请求提供澄清或信息。To provide clarification or information to be requested by the auditor

注2：适宜时，受审核方也可以担任向导。Note 2: when appropriate, the audit party can also serve as a guide.

4.5.5 获取认证信息 Get authentication information

在审核中应通过适当的抽样来获取与审核目的、范围和准则相关的信息（包括与职能、活动和过程之间的接口有关的信息），并对这些信息进行认证，使之成为审核证据。信息获取方法应包括（但不限于）：a)面谈；b)对过程和活动进行观察；c)审查文件和记录。The auditors obtain appropriate information about audit purpose、scope and criteria， including the interface information of functions, activities and processes, and verify the information and evidence。 Information acquisition methods should include (but not limited to): a) interview; b) the process and activities of observation; c) review of documents and records.

4.5.5.1 初次认证一阶段的关注重点 focused attentions in the first stage of initial certification:

序号	QMS	EMS	OH&SMS
1	建立了文件管理体系，包括文件管理和体系记录管理程序 Established documents management system, including documents management and system records procedure		
2	管理体系的实施范围，包括产品供应、场所和任何的删减及其合理性 Management system scope, including products、places and rationality of any deleting		
3	适宜的质量方针 appropriate quality policy	适宜的环境方针 Appropriate environment policy	适宜的职业健康安全方针 appropriate occupational health and safety policy
4	质量目标、指标和管理方案	环境目标,指标和管理方案 environment	职业健康安全目标,指标和管理方案 occupational health and

	Quality objectives、indication and actions	objectives、indication and actions	safety objectives、indication and actions	
5	识别和确定了应控制的过程 Identify and determine the process to be controlled	识别和确定了应控制的环境因素 Identify and determine the environmental factors that should be controlled	识别和确定了应控制的危险源及相应的风险 Identify and determine the source of risk and the corresponding risk	
6	识别应遵守的法律法规、标准或其他要求 Identify the laws, regulations, standards or other requirements			
7	对管理体系关键过程、活动或部门建立了质量、环境、职业健康安全综合绩效监视测量的制度或程序。对不合格产品、事件、事故规定了处理方法。 To establish the system or procedure on quality, environment, occupational health and safety integrated performance monitoring and measurement of the key process, activity or department. To define the disposition methods of non-conformity, events and accidents			
8	建立组织结构、规定各部门岗位人员职责和任职能力要求。Establish organizational structure, and define Department staff responsibilities and ability requirements			
9	建立了专业人员、职能岗位人员能力评价准则。 Establishes ability evaluation criterion for the professional personnel and the functional position personnel			
10	建立了针对管理体系全部活动的内部审核，管理评审及持续改进的制度或程序。Establish an internal audit, management review and continuous improvement system or procedure for all activities of the management system			
11	评价受审核方的运作场所和现场的具体情况，确定管理体系实施状况是否可以进行第二阶段。Evaluation on site operating and the specific circumstances, to determine whether the implementation of the management system can be conducted in second stages			
12	结合可能的重要事项，获得充分了解客户管理体系及现场的运作，以便为规划第二阶段提供重点。Regarding the possible important matters, get a full understanding of the customer management system and operating, so as to provide the focus of the second stage			

4.5.5.2 初次认证二阶段的关注重点：Focused attentions in the second stage of initial certification

a) 与适用的管理体系标准或其他规范性文件的所有要求的符合情况及证据；Compliance of applicable management system standards or other regulatory documents and evidence;

b) 依据关键绩效目标和指标（与适用的管理体系标准或其他规范性文件的期望一致），对绩效进行的监视、测量、报告和评审；Monitor, measure, report, and review the performance of KPI (consistent with the expectations of applicable management system standards or other regulatory documents;

c) 客户管理体系的能力以及在符合适用法律法规要求和合同要求方面的绩效；The ability of the customer management system and the performance in compliance with applicable laws and regulations and contractual requirements;

d) 客户过程的运作控制；Customer process operation control;

e) 内部审核和管理评审；Internal audit and management review;

f) 针对客户方针的管理职责；Management responsibilities for customer policy;

4.5.5.3 监督审核的关注重点至少包含: The focus of supervision audit at least include;

a) 内部审核和管理评审；Internal audit and management review;

b) 对上次审核中确定的不符合采取的措施；The action for non-conformity found in previous audit;

c) 投诉的处理；Complaint disposition;

d) 关于管理体系达成已认证客户目标的有效性以及各管理体系预期的结果；The effectiveness of the management system to achieve the objectives of the certified customers as well as the expected results of the management system;

e) 为持续改进而策划的活动的进展；Progress of planning activities for continuous improvement;

f) 持续的运作控制；Continuous operation control;

g) 任何变更；Any change;

h) 标志的使用和（或）任何其他对认证资格的引用。The use of logo and/or other reference to certification qualification.

4.5.5.4 再认证审核的关注重点: Focus on re certification audit

a) 结合内部和外部变更确认整个管理体系的有效性，以及认证范围的持续相关性和适宜性；The effectiveness of the entire management system combined with internal and external changes, as well as the continuing relevance and suitability of the scope of the certification;

b) 经证实的对保持管理体系的有效性并改进管理体系，以提高整体绩效的承诺；Proven to maintain management system effectiveness and improve the management system, to improve the overall performance of the commitment;

c) 管理体系在实现获证客户目标和管理体系预期结果方面的有效性。 The effectiveness of the management system in achieving the desired results of the customer objectives and management system

4.5.6 确定和记录审核发现 audit findings determination and record;

4.5.6.1 审核组应确定审核发现（概述符合性并详细描述不符合），并予以分级和报告，以能够为认证决定或保持认证提供充分的信息。并记录于《审核检查表》上。The audit team shall determine the audit findings (summarize conformity and describe non-conformity in detail), and shall be classified and reported, to enable to provide sufficient information for certification decisions or maintain certification. And recorded in the<Audit Checklist>;

4.5.6.2 审核检查记录要做到：Audit checklist records is required：

a) 审核检查表与审核计划的符合性，不遗漏过程和条款，收集证据要充分，记录要客观清晰、有可追溯及可信度；audit checklist should be in accord with the audit plan，the process and clauses are not omitted, and the evidences are sufficient, the records is objective and clear, also can be traced back;

b) 关注关键或特殊过程控制情况，特别明确写明审核当日生产和检验现场的情况；Focus on key or special processes, especially make a clear record on production and inspection on the audit day;

c) 记录符合性的具体审核发现；record audit findings;

d) 需要记录的不符合事项的发现应依据审核规范的特定规定予以记录，包含一个明确的不符合事项声明，并详细地识别该不符合项所依据的客观证据，在《审核检查表》中做"X"标记。审核组应与客户代表在末次会议前讨论并确认不符合项。以确保该证据的正确性与该不符合事项已被了解。但审核员应避免建议不符合的成因及其解决方案。确认后请客户代表在《不符合报告》上签字确认；

The non-conformity items are recorded according to the audit specifications,including a clear non-conformity declaration, and identify in detail the objective evidence for non-conformity items，and "X" mark in the comments column. The audit team should discuss and confirm the non-conformity with customer representatives before close meeting，to ensure that the evidence is correct and the non-conformity items have been understood. But the auditor should avoid to proposal the root cause and the solution. After confirmation, let customer sign on the<non-conformity report>;

e) 除非管理体系认证方案要求禁止，则可识别与记录改进的机会。在《审核检查表》中用"△"表示，做观察建议事项，并记录在《观察建议事项一览表》上，这些观察建议事项无需客户做正式的书面整改回复，但会作为下次审核时重点关注对象；The improvement opportunity should be identified and kept record except the management system certification program requires a ban。Auditor remark "△"in comments column of audit checklist，as observed recommendations and record on the schedule of the recommendations These observations suggest do not require customers reply written corrective responses, but it will be as the next audit focus on the object;

f) 实习审核员的检查记录，必须有同组审核员的签署。专家也应当在同组参与审核部门的检查表上签署；The auditor in training's audit record must be signed by the auditors of the same group. Experts should also sign on the check list;

g) 当产品标准有要求时，按照要求检查和记录项目，是否对强制性认证或规定有遗漏，产品型式试验的结果可直接提供型式试验报告扫描档。政府权责单位部门的抽查检查报告或委托检验报告，也可作为产品实物质量的客观证据（此规定服务业一般不适用）。Check and record items on the basis of products requirements，whether the compulsory certification or provisions are omitted, the product type test results

can be directly provided the photocopy. The entrusted inspection report can be used as objective evidence of the products (it is not applicable for service industry).

4.5.6.3 审核组长应试图解决审核组与客户间有关审核证据或发现的任何分歧意见，未解决的分歧点应予以记录。The audit leader shall try to resolve any different opinions between audit team and the customer about the audit evidence or any differences，and the unsolved points should be noted.

4.5.7 准备审核结论 prepare audit conclusion

4.5.7.1 在末次会议之前，由审核组长负责，审核组应：Prior to the close meeting, the audit leader shall be responsible for the audit team:

a) 对照审核目的和审核准则，审查审核发现和审核中获得的任何其他适用的信息，并对不符合分级；based on the audit purpose and audit criteria, review the audit findings and any other applicable information obtained in the audit, and make classification to non-conformity;

b) 考虑审核过程中内在的不确定性，就审核结论达成一致；consider the uncertainty in the audit process, reached a consensus for the audit conclusion;

c) 确认审核方案的适宜性，或识别任何为将来的审核所需要的修改（例如认证范围、审核时间或日期、监督频率、审核组能力）。confirm the suitability of the audit program, or identify any modifications for future audits (such as the scope of certification, audit time or date, the frequency of supervision, and the ability of the audit team).

4.5.7.1.1 初次认证/监督/再认证的审核结论

The initial certification/ supervision certification /re-certification conclusions

4.5.7.1.1.1 初次认证第一阶段审核结论 Conclusions for the first stage of the initial certification

a) 具备第二阶段审核条件，可以进入第二阶段审核。Enter stage 2 if it meets the requirements.

b) 基本具备第二阶段审核条件，但需在规定的期限 90 天内对审核组确立的《一阶段审核问题点》实施纠正，在纠正和纠正措施得到审核组长认证后方可进入第二阶段审核。meeting stage 2 requirement mostly, but only the certified client close<stage 1 audit NC items>in 90 days can he enter the second stage audit.

c) 不具备第二阶段审核条件，不得进入第二阶段审核，需待缺失整改完毕后重新提交申请。Does not meet stage 2 requirement, so that it can't enter stage 2, need to complete all the defects, and then re-submit the application.

4.5.7.1.1.2 初次认证第二阶段/监督/再认证审核结论

Conclusions for the second stage of the initial certification/ supervision audit/re-certification

a) 推荐/维持注册：客户可在 90 个工作日内（再认证在证书到期前）提交轻微不符合项的书面整改证据给审核组长。审核组长认证合格后提交给公司技术部，一律由公司指派认证决定人员进行认证决定，并经总经理核准后，可推荐/维持注册。再认证客户如遇特殊情况无法在证书有效期内整改完成，需报总经理审批。由于客户原因导致开具的轻微不符合项无法在 90 个工作日内完成时，需提交书面延长整改时限报告至公司审核部，且最终整改时限不能超过 6 个月。Recommendation / maintenance of registration: the customer can submit the minor non-conformity with the written rectification evidence to the audit leader within 90 working days (prior to re certification date). The audit leader verify and then submit to technical department, the technical department will submit it to EQO for certification decisions, and after the approval of the general manager, the audit can give maintenance of the registration conclusion. If the NC items in re certification cannot be completed within the expiry date of the certificate, it should be reported to the general manager for approval。If the NC can't be closed within 90 days owning to the clients，a written application report for prolonging the rectification time should be submitted to audit department，and the final rectification time limit should not exceed six months.

b) 暂缓推荐/维持注册：出现有 1 个严重不符合项，但在六十个工作日内（再认证在证书到期前）能纠正的，审核组长验证合格后提交给公司技术部，一律由公司指派认证决定人员进行进行认证决定，并经总经理核准后，可推荐/维持注册。再认证客户如遇特殊情况无法在证书有效期内整改完成，需报总经理审批。postpone recommended / maintain registration: there is 1 major NC item, but it can be corrected within 60 working days (before the expiration of re-certificate) , The audit leader verify and then submit to technical department, the technical department will submit it to EQO for certification decisions, and after the approval of the general manager, the audit can give maintenance of the registration conclusion. If the NC items in re certification cannot be completed within the expiry date the certificate, it should be reported to the general manager for approval.

c) 不推荐/维持注册：认证过程如发现客户提供的事件信息有严重事故或违规，证明体系严重失效，无法符合认证要求时，应立即暂停或撤销认证并告知客户另行安排特殊审核以调查管理体系是否有受到危害及影响有效运作，且于三十个工作日或证书到期前完成改善。出现有 2 个以上严重不符合项，且在六十个工作日内无法纠正的，应客户要求可终止审核。通知客户认证审核将于 90 天后重新申请，可安排初次审核。During the verification process finds that the event information provided by the client has serious accidents or violations, and proves that the system is seriously invalid and cannot meet the verification requirements, it shall immediately suspend or terminate the verification and inform the client to arrange a special audit to investigate whether the management system is endangered and effectively operated.

And be improved in 30 work days or before the certificate expiration date. Not recommend / maintain registration: there are more than 2 major NC items, and they can't be corrected within 60 working days, this audit can be terminated. And EQO will inform client to submit application after 90 days, and will arrange initial audit.

4.5.7.2 审核组长同时完成相应审核类型书面的审核报告。（《一阶段审核报告》/《管理体系审核报告》）。Audit leader complete the audit report(<first stage audit report>/<he management system audit report>)

4.5.7.3 审核组可识别改进机会，但是不应提出具体解决办法的建议。审核报告的所有权应由本公司所有。Audit team can identify r improvement opportunities, but they should not propose specific solutions. The ownership of the audit report shall be owned by our institution.

4.5.7.4 审核报告应提供对审核的准确、简明和清晰的记录，以便为认证决定提供充分的信息，并应包括或引用下列内容：The audit report shall provide an accurate, concise and clear record of the audit, so as to provide sufficient information for the certification decision, and shall include or reference the following:

a) 注明认证机构；introduce certification body;

b) 客户的名称和地址及客户的代表；Customer name and address and the customer's representative;

c) 审核的类型（例如初次、监督、再认证或特殊审核）；Type (e.g. initial, supervision, re- certification or special audit) ;

d) 审核准则 Audit criteria;

e) 审核目的；Audit purpose;

f) 审核范围，特别是标识出所审核的组织或职能单元或过程，以及审核时间；Audit scope, in particular, identify the organization or functional unit or process of the audit, as well as the audit time;

g) 任何偏离审核计划的情况及其理由 any deviation from the audit plan and its reasons;

h) 任何影响审核方案的重要事项；any important matters affecting the audit program;

i) 注明审核组长、审核组成员及任何与审核组同行的人员；Indicate the audit leader, the audit members and any of the audit team peer members;

 j) 审核活动（现场或非现场，永久或临时场所）的实施日期和地点；The implementation date and location of the audit activity (live or off-site, permanent or temporary);

k) 与审核类型的要求一致的审核发现（见 4.5.6）、对审核证据的引用以及审核结论；The audit findings (see 4.5.6), the results of the audit evidence, and the audit findings are consistent with the requirements of the audit type;

l) 如有时，在上次审核后发生的影响客户管理体系的重要变更；If possible, important changes that impact the management system in last audit;

m) 已识别出的任何未解决的问题；Any unresolved issues identified;

n) 适用时，是否为结合、联合或一体化审核；if applicable, whether the combination, the joint or the integration audit;

o) 说明审核基于对可获得信息的抽样过程的免责声明；Disclaimer based on the sampling process of the information;

p) 审核组的推荐意见；Recommendations for the audit team;

q) 适用时，接受审核的客户对认证文件和标志的使用进行着有效的控制；when applicable, the effective control for customer acceptance of the certification documents and use of logo ;

r) 适用时，对以前不符合采取的纠正措施有效性的验证情况。to verify the effectiveness of the corrective actions that are not in conformity with the previous corrective action taken;

审核报告还应包含： The audit report should also include:

a) 关于管理体系符合性与有效性的声明以及对下列方面相关证据的总结：A statement of compliance and effectiveness of the management system and a summary of the relevant evidence in the following areas:

- 管理体系满足适用要求和实现预期结果的能力；Management system to meet the requirements of the application and the ability to achieve the desired results;

- 内部审核和管理评审的过程；The process of internal audit and management review;

b) 对认证范围适宜性的结论；The conclusion of the suitability of the scope of certification;

c) 确认是否达到审核目的。To confirm whether to achieve the purpose of the audit.

4.5.7.5 审核范围的确定一定是在现场收集证据的基础上与客户确定并在审核报告上描述，不能超出申请评审给定的范围（表达方式可以商榷）。The determination of the audit scope must be confirmed with customer and based on the collection of evidence, and it can't exceed the scope of the contract review (the expression can be discussed).

4.5.7.6 审核组长完成审核报告后，如为计算机制作的应现场打印出来，同时将《证书内容确认表》交客户签字或盖章，审核组长也应签字确认，此《证书内容确认表》作为证书制作的依据。Audit leader finish the report, and then print out the report and<Certificate information confirmation form>and get customer confirmed and stamped, audit leader also sign, this<Certificate information confirmation form> is used to make certificate.

4.5.8 召开末次会议 close meeting

4.5.8.1 审核组长应与客户的管理层（适用时，还包括所审核的职能或过程的负责人员）召开正式的末次会议，审核组长依据《会议签到表》附录审核会议指引要求召开末次会议，并要求审核组及参加首次会议的客户人员签到并确认。末次会议的目的是提出审核结论，包括关于认证的推荐性意见。不符合应以使其被理解的方式提出，并应就响应的时间表达成一致。The audit leader held close meeting with customer management level (when applicable, including the audit function or process responsible personnel), and the audit leader host the meeting and provide the<Meeting Sign-in sheet>. The purpose of close meeting is to state the audit conclusion. And any NC items should be understood by customer.

4.5.8.2 在末次会议上客户应有提问的机会。对于审核组与客户有关审核发现或结论的任何分歧意见，应被讨论，若可能时，予以解决。任何未解决的分歧意见，应予以记录，并提交本公司。At the close meeting, the customer should have the opportunity to ask questions. Any differences between the audit team and the customer should be discussed and solved if possible. Any unresolved disagreements should be recorded and submitted to EQO .

4.5.9 不符合事项的相关规定 Non-conformity items rules

4.5.9.1 属于【a)无法符合一项或多项管理体系标准要求；b)或对客户的管理体系达成其意图结果的能力，提出重大质疑的情况；】不符合项则被定义成严重不符合；任何其他不符合事项则被定义为轻微不符合。If the Non-conformity items [a) can't meet the requirements of one or several management system standards; b)have big deviation compared to the customer management system proposed capability，they are defined major Non-conformance，and other items is defined as minor Non-conformity.

4.5.9.2 轻微不符合的整改期限为 90 个工作日。Minor NC rectification period is 90 working days.

4.5.9.3 严重不符合的整改期限为 60 个工作日。Major NC rectification period is 60 working days.

4.5.9.4 再认证审核发现的不符合整改期限应在认证周期到期前；在认证到期后，如果审核部能够在 6 个月内完成未尽的再认证活动，则可以恢复认证，否则应至少进行一次第二阶段审核才能恢复认证。证书的生效日期应不早于再认证决定日期，终止日期应基于上一个认证周期。Re-certification audit NC rectification period should be prior to the expiration of the certification cycle；After the expiration of the certification, if the audit department can finish re-certification within 6 months, then the certification can be renewing，or else, stage 2 is needed at least. The effective date of the certificate shall not be earlier than the date of certification decision. The termination date should be based on a certification cycle.

4.5.9.5 不符合事项的原因分析：审核组长应要求客户在规定时间内分析原因，并说明为消除不符合已采取或拟采取的具体纠正和纠正措施。NC root cause：audit leader shall require customers to analyze the reasons within the specified time, and take corrective and corrective actions to eliminate non-conformance.

4.5.9.6 纠正和纠正措施的有效性：审核组长应审查客户提交的原因分析及纠正和纠正措施，以确定其是否可被接受。审核组长应验证所采取的任何纠正和纠正措施的有效性。所取得的为不符合整改提供支持的证据应予以记录。应将审查和验证的结果告知客户。

注：可以通过审查客户提供的文件化信息，或在必要时实施现场验证来验证纠正和纠正措施的有效性。验证活动通常由审核小组完成。The effectiveness of corrective and corrective actions: the audit team leader shall review the corrective and identified corrective actions to determine whether he can accept or not. The audit leader shall verify the effectiveness of any corrective and corrective actions taken. The evidence obtained for the non-conformity of the solution shall be recorded. Also he shall inform the customer of the results of the review and validation.

Note: the effectiveness of the corrective and corrective actions can be verified by reviewing the documented information provided by the customer, or if necessary. Validation activities are usually done by the audit team members.

4.5.9.7 如果为了验证纠正和纠正措施的有效性，需要补充一次全面的或有限的审核，或者需要文件化的证据（需要在未来的审核中确认），则审核组长应告知客户。Sometimes audit team need to verify the correction and corrective measures the effectiveness via supplement a comprehensive or limited audit, or documented evidence needs (need to be confirmed in future audits), and then audit leader should inform the customer.

4.5.10 审核档案流程评价 Review file process evaluation

认证结案后，审核组长整理汇总审核资料，将整份档案交给技术部，由技术部认证决定人员进行认证评定，并依照《认证决定管理办法》的要求在《报告评审和认证决定表》上对各流程要求点进行符合性、完整性和充分性的评价，并在表上标记评价结果。如有问题，应及时解决，当整份档案没有问题后报给公司总经理审批。（认证决定人员不能是执行审核的人员，不能是申请评审人员）After finishing certification, the leader collect audit data, and deliver all copies of the files to the technical department, and the certification decision person of technology department will assess the audit file, and give conformity、integrity and sufficient evaluation on<Report review & certification decision checklist>, according to<Certification Decision Management Measures>, and mark assessment result。And present to EQO GM for approval finally（certification decision person can't be the person who conducted the audit，cannot be an application reviewer）.

4.5.11 关于认证决定相关规定详见《授予、拒绝、维持、更新、暂停、恢复、或撤销认证、或扩大或缩小认证范围控制程序》的规定。Relevant provisions for certification decision is described in<granting,

maintaining, renewing, expanding, reducing, suspending or withdrawing of certification scope control procedure>.

5 引用文件 Reference Documents

5.1 EQO-CP02《管理体系认证申请及评审控制程序》Management system application and review control procedure

5.2 EQO-CP04《授予、拒绝、维持、更新、暂停、恢复、或撤销认证、或扩大或缩小认证范围控制程序》granting, maintaining, renewing, expanding, reducing, suspending or withdrawing of certification scope control procedure

5.3 EQO-CR02《审核人日确定准则》Audit man-day calculation criteria

5.4 EQO-CR03《多场所组织管理体系审核与认证规定》Regulations on Audit and Certification of Multi-site Organizational Management System

5.5 EQO-CR05《认证决定管理办法》Certification Decision Management Measures

6 使用表单 Forms

6.1 EQO-CP02-01《认证申请表》certification application form

6.2 EQO-CP02-03《认证报价单》certification quotation form

6.3 EQO-CP02-04《认证合同书》certification contract

6.4 EQO-CP03-01《认证审核方案》Certification audit program

6.5 EQO-CP03-02《审核派组委任书》Audit team appointment

6.6 EQO-CP03-03《审核通知书》audit notification

6.7 EQO-CP03-04《审核前专业培训记录表》professional training prior to audit record

6.8 EQO-CP03-05《认证审核公正性和保密声明》Statement on Impartiality and Confidentiality of Certification Audit

6.8 EQO-CP03-06《管理体系文件评审报告》Management system document review report

6.9 EQO-CP03-07《一阶段非现场审核计划》Stage 1 Off-site Audit Plan

6.10 EQO-CP03-08《一阶段现场审核计划》Stage 1 On-site Audit Plan

6.10 EQO-CP03-09《一阶段审核问题点》stage 1 issue items list

6.11 EQO-CP03-10《一阶段审核报告》stage 1 audit report

6.12 EQO-CP03-11《现场审核计划》on-site audit plan

6.13 EQO-CP03-12《会议签到表》meeting attendee sign sheet

6.14 EQO-CP03-13《审核检查表（含二阶段、监督及再认证) 》audit checklist（stage2、supervision and re-certification）

6.16 EQO-CP03-14《不符合报告》non-conformity report

6.15 EQO-CP03-15《证书内容确认表》Certificate information confirmation form

6.17 EQO-CP03-16《管理体系审核报告》management system audit report

6.18 EQO-CP03-17《管理体系变更申请表》Management System Change Application Form

6.19 EQO-CP03-18《现场审核异常处理表》Exception Handling Form for On-site Audit

6.20 EQO-CP03-19《观察及建议事项一览表》observation and suggestion items list

6.21 EQO-CP03-20《获证企业管理体系监督/再认证审核通知单》Certified client management system surveillance recertification audit notice

6.22 EQO-CP03-21《客户管理体系变更情况调查表》Customer management system change questionnaire

6.23 EQO-CP03-22《客户再认证前管理体系运行情况评审报告》Review report before re-certification

6.24 EQO-CP03-23《已签发认证证书变更申请单》Issued certification change application

6.25 EQO-CP10-01《报告评审和认证决定表》Report review & certification decision checklist

编　写	肖超	发行单位	亿科检测认证有限公司

附录 B

亿科检测认证有限公司
修订记录

文件编码	EQO-CP03		文件名称	认证审核程序
版本	制订日期	制/修订人	制订或修订主要内容概要	
A	2022/01/10	肖 超	新制定	
A1	2022/11/27	肖 超	文件中引用的 ISO/IEC 文件增加等同采用 GB/T 国家标准号。	