上海英格尔认证有限公司

Shanghai Ingeer Certification Assessment Co., Ltd.

合规管理体系认证管理程序

Compliance Management System Certification Management Procedure

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1. 目的 Objective

本文件用于指导上海英格尔认证有限公司（以下简称ICAS认证）开展合规管理体系（以下简称CMS）认证活动，以保证与认证有关的活动具有一致性、连续性和可追溯性。

This document is designed to be a guide for Shanghai Ingeer Certification Assessment Co., Ltd.(hereinafter referred to as 'ICAS') to carry out Compliance Management System(hereinafter referred to as 'CMS') certification activities to ensure the consistency, continuity and traceability of the certification-related activities.

2. 范围 Scope

本文件适用于ICAS对合规管理体系认证过程相关活动的控制。

This document applies to ICAS's control over CMS certification process activities.

3. 职责 Responsibilities

- 市场部负责认证申请的处理、信息的提供、报价、客户满意度调查及其它必要的协调工作；Market department is responsible for dealing with the certification application， provision of information, quotation, organization satisfaction survey and other necessary coordination works;
- 审核部负责合同评审、审核方案策划、审核小组委派、审核行程的安排，审核任务书的委派及审核计划的确认；The Audit Department is responsible for contract review, audit programme planning, audit team assignment, audit itinerary scheduling, and assignment of audit tasks and confirmation of audit plan.
- 审核组长负责审核过程的计划编制、审核执行以及首次审核完成后的年度审核方案策划；Audit team leader is responsible for preparing audit plan 、 conducting the audit and annual audit programme planning after completed the initial audit;
- 注册部负责认证决定，证书的制作、发放和管理；The Registration Department is responsible for certification decisions, certificate production, issuance and administration;
- 技术资源部负责对参与管理和实施审核与认证人员进行专业能力评定、专业能力发展策划（如见证的安排）；The Technical Resources Department is responsible for professional competence assessment and professional competence development planning (e.g., witnessing arrangements) for personnel involved in the management and implementation of audits and

certifications;

- 研发部负责业务运转过程中必要的技术文件的制定；The R&D Department is responsible for the development of technical documentation necessary for the operation of the business.
- 品管部负责文件的更新及认证过程的监督；The Quality Managment Department is responsible for updating documents and monitoring the certification process.

4. 认证基本流程 Basic process of certification

① 认证申请 Certification application
② 合同评审 Contract review
③ 申请受理及签订合同 Application acceptance and signing contract
④ 审核方案策划 Planning for audit programme
⑤ 现场审核的准备 Preparation for on-site audits
⑥ 实施审核（初次审核、监督审核和再认证）Conducting audits (initial audit, surveillance audit and recertification)
⑦ 认证决定 Certification decision
⑧ 发放证书 Issuance of certificates

5. 认证依据及业务范围划分 Certification basis and Business Scope Classification

合规管理体系认证以GB/T 35770-2022/ISO 37301: 2021《合规管理体系 要求及使用指南》为认证依据。认证业务范围划分见合规管理体系（CMS）认证业务范围表。
Compliance management system certification is based on GB/T 35770-2022/ISO 37301: 2021 "Compliance management systems Requirements with guidance for use". The scope of certification is shown in the "Compliance management system Certification Business Scope Form".

6. 认证程序 Certification procedure

6.1 认证申请 Certification application
6.1.1 申请认证组织应按ICAS认证要求，提供以下申请信息或资料（包括但不限于）：The organization that applies for certification shall provide the following applying information or materials as required by ICAS:
(1)法人资格证明(工商营业执照、事业单位法人证书或社会团体法人登记证书)； Proof of legal personality (industrial and commercial business license, certificate of legal personality of an institution or certificate of registration of a legal personality of a social organization)
(2)取得相关法规规定的行政许可文件(适用时)；Acquisition of administrative license documents

stipulated in relevant laws and regulations (when applicable)

(3)从事的业务活动符合中华人民共和国相关法律、法规、合规管理体系标准和有关规范的要求；The business activities engaged in are in compliance with relevant laws and regulations of the People's Republic of China, compliance management system standards and relevant norms;

(4)对合规管理体系认证范围涉及的业务活动的描述，包括利用合规管理为内部或外部顾客的业务过程提供支持的说明；A description of the business activities covered by the scope of certification of the compliance management system, including a description of the use of compliance management to support the business processes of internal or external customers;

(5)已按认证依据和相关要求建立和实施了文件化的合规管理体系； A documented compliance management system has been established and implemented in accordance with the certification basis and related requirements

(6)体系有效运行3个月以上，并且已完成内部审核和管理评审。 The system has been running effectively for more than 3 months and has completed internal audits and management reviews.

(7) 有多个场所时，提供每个场所的法律地位证明文件（适用时）复印件，并填写提交《多场所信息征询单》；In the case of multiple establishments, provide a copy of the document certifying the legal status of each establishment (when applicable) and complete and submit the "Multi-Enterprise Information Request Form";

(8) 提供外包方合规管理的情况说明/承诺；Provide a description/commitment of the outsourcer's compliance management；

6.1.2 申请认证组织提供的信息应使ICAS认证能够确定：The information provided by the organization applying for certification should enable ICAS certification to be determined:

(1)申请组织的行业类别和服务要求； The industry category and service requirements of the applicant organization;

(2)申请认证的范围；Scope of application for certification

(3)申请组织的一般特征，包括其名称、物理场所的地址、为内部或外部顾客的业务过程提供合规管理支持的说明、过程和运作的重要方面以及任何相关的法律义务；General characteristics of the applicant organization, including its name, the address of its physical location, a description of compliance management support for business processes for internal or external customers, significant aspects of its processes and operations, and any associated legal obligations

(4)申请组织与申请认证的领域相关的一般信息，包括其活动，人力与技术资源，相关法律法规环境，以及适用时，其在一个较大实体中的职能和关系；General information about the applicant organization relevant to the field for which certification is sought, including its activities, human and technical resources and, where applicable, its functions and relationships within a larger entity

(5)申请组织采用的所有影响符合性的外包过程的信息；Information on all outsourced processes used by the applicant organization that affect conformity

(6)接受与合规管理体系有关的咨询的情况。Acceptance of advice related to compliance management systems

6.1.3 在申请阶段，ICAS可以要求客户向其说明适用的关于认证机构的资质、诚信守法记录或认证人员身份背景的要求，以及适用的与保守国家秘密或维护国家安全有关的法律法规要求，并即时更新该说明，以便ICAS判断其是否具备对该客户实施认证活动的资格或条件。并可要求客户指明其在申请认证的管理体系范围内与其他方共同提供服务的情况，以便更好安排认证审核的实施；

At the application stage, ICAS may request the client to indicate to it the applicable requirements concerning the qualifications of the certification body, the record of integrity and compliance with the law or the background of the identity of the certified personnel, as well as the applicable requirements of laws and regulations related to the preservation of state secrets or the maintenance of national security, and to update the indication immediately, so as to enable ICAS to judge whether it has the qualifications or conditions for the implementation of the certification activities for the client. The client may also be asked to indicate the services it provides jointly with other parties within the scope of the management system for which certification is applied, so as to better arrange the implementation of the certification audit;

6.1.4 市场部收到认证申请时，应对认证申请及补充信息进行评审确认，以确保：When the Marketing Department receives an application for certification, it shall review and confirm the application for certification and additional information to ensure:

1) 申请资料齐全，申请组织从事的活动符合相关法律法规的规定，信息充分，可以进行审核；The application information is complete, the activities engaged in by the applicant organization are in compliance with relevant laws and regulations, and the information is sufficient for the audit

2) 解决了ICAS认证与申请组织之间任何已知的理解差异；Addresses any known differences in understanding between ICAS accreditation and the applicant organization

3) ICAS认证有能力并能够实施认证活动；ICAS is competent and able to implement certificaiton activities

4) 考虑了申请的认证范围、申请组织的运作场所、完成审核需要的时间和任何其他影响认证活动的因素（语言、安全条件、对公正性的威胁等）；Consideration has been given to the scope of certification applied for, the premises where the applicant organization operates, the time needed to complete the audit and any other factors affecting the certification activity (language, security conditions, threats to impartiality, etc.)

5) 保持了决定实施审核的理由的记录。A record is maintained of the reasons for the decision to conduct the audit.

6) 认可业务范围的正确实施。The correct implementation of the scope of accreditation

- 如果申请属于认可的业务范围，则继续6.1.3及之后的步骤；If the application falls within a accreditation scope, continue with 6.1.3 and subsequent steps
- 如果申请不属于认可的业务范围，但属于由英格尔顾问委员会批准的业务能力范围内，则应于当天或最迟于第二个工作日通知申请方，征求申请方是否接受没有认可标志的证书；如果客户接受，继续6.1.3的步骤；If the application does not fall within the accreditation scope of business but falls within the scope of business competence approved by the Ingeer Advisory Committee, notify the applicant on the same day, or at the latest on the second working day, to seek the applicant's acceptance of the certificate without the mark of approval; if the client accepts it, continue with 6.1.3.
- 如果申请不属于认可的业务范围，也不属于由英格尔的业务能力范围内，则应于当天或最迟第二个工作日通知客户，终止进一步的步骤。If the application does not fall within the accreditation scope of business and is not within the scope of business competence of ICAS, further steps shall be terminated by notifying the Client on the same day or the second working day at the latest

6.1.5 市场部在收到申请的当天或最迟不超过第二个工作日内，根据《CMS 审核人天表》等，对认证活动进行报价；申请人为多场址时，应请客户填写《多场所多现场 在建项目清单》（MAP0350）。《认证合同》（MAP0312）应跟报价单同时传真给客户。The Marketing Department will provide a quotation for the certification activity on the same day the application is received, or no later than the second working day, based on the CMS Auditor's Day Sheet, etc.; when the applicant is a multi-site applicant, the client shall be asked to complete the Multi-location and multi-site Project Under Construction Checklist (MAP0350). The Certification Contract (MAP0312) should be faxed to the client at the same time as the quotation.

6.1.6 市场部收到报价确认后，将《认证合同》（MAP0312）原件一式两份以适当的方式提供给申请方。Upon receipt of the quotation confirmation by the Marketing Department, the original Certification Contract (MAP0312) will be provided to the applicant in duplicate in an appropriate manner.

6.1.7 市场部收到报价确认后，应于当天或最迟不超过第二个工作日内将《认证申请表》(MFP0388)转交审核部。Upon receipt of the quotation confirmation, the Marketing Department shall forward the Certification Application Form (MFP0388) to the Audit Department on the same day or no later than the second business day.

6.1.8 市场部确定审核意向后，应及时向审核申请方要求提交合规管理手册、程序文件。以确认申请组织为达到合规管理而建立了文件化的管理体系。After the Marketing Department determines the

intention to audit, it shall promptly request the submission of compliance management manuals and procedure documents from the audit applicant. To confirm that the applicant organization has established a documented management system to achieve compliance management.

6.2 合同评审 Contract review

6.2.1 审核部合同评审人员进行合同评审，必要时，市场业务人员予以协助。合同评审人员在进行合同评审时不可在合同评审阶段将高等级的风险或技术等级降低、应待一阶段完成后才可根据现场实际情况进行降级处理。评审人员在综合各方面的因素后确定审核所需人天及认证专业范围。任何等级降低或提高、人天减少或增加的理由均应给予记录。合规管理体系的审核所需人天应参考《CMS 审核人天表》进行评估。合同评审时，要考虑以下项目：

The contract reviewers of the Audit Department shall conduct contract reviews, with the assistance of marketing personnel when necessary. The contract reviewers cannot reduce the high level of risk or technical level in the contract review stage, and should wait until the completion of the first stage before downgrading according to the actual situation on site. The assessor will determine the number of man-hours and the range of certified specialties required for the audit after taking into account all factors. Any reasons for downgrading or upgrading, or for reducing or increasing the number of personnel days shall be documented. The number of man-days required for an compliance management system audit shall be evaluated with reference to the 'CMS Audit Man-Day Table'. The following items are considered during a contract review：

a) 充分评审客户提交的申请信息及资料，以确保清晰地了解了客户的活动区域，以及体系管理体系的可能风险； Fully review the application information and materials submitted by the client to ensure a clear understanding of the client's area of activity and the possible risks to the system management system.

b) 应获取客户识别了参与合规管理的其他方和客户如何按照GB/T 35770-2022/ISO 37301: 2021《合规管理体系 要求及使用指南》对其他方进行管理的证据；Evidence shall be obtained that the Client has identified other parties involved in compliance management and how the Client manages the other parties in accordance with GB/T 35770-2022/ISO 37301: 2021 Compliance management systems — Requirements with guidance for use;

c) 申请方的管理体系是否主要以电子化（"e-based"）过程和文件为主； whether the applicant's management system is predominantly electronic ("e-based") process and documentation based.

d) 是否结合审核、联合审核或一体化审核；Whether it is a combined, joint or integrated audit

e) 管理体系范围内活动的分包情况；Subcontracting of activities within the scope of the management system

f) 以前审核的结果；Results of previous audits

g) 对于多场所或含有临时场所的组织，应考虑：Consideration should be given to organizations with multiple sites or containing temporary sites:

- 是否具有利用计算机辅助审核技术进行远程审核；Availability of remote auditing using computer-assisted auditing technology
- 多场所运做组织应确定组织总部作为其实施认证的合同方；Multi-site operations organizations should identify the organization's headquarters as the contracting party for their implementation of certification
- 检查组织在每个各案场所在何种程度上按照相同的程序和方法生产或提供本质上同类的服务，只有在肯定全部场所符合多场所运作准则后，抽样才能用于各个场所；Examine the extent to which the organization produces or delivers essentially the same type of service according to the same processes and methods at each of the individual sites; sampling can only be used at individual sites once it has been confirmed that all sites are in compliance with the guidelines for multi-site operations.
- 一个服务性组织中实施认证所覆盖的活动的全部场所，没有准备好同时进行认证时，应要求组织确定包含在认证书中的场所。The full range of sites in a service organization that perform activities covered by the certification and are not ready to be certified at the same time shall require the organization to identify the sites to be included in the certificate of certification.

6.2.2 合同评审的结果应能够确保：The outcome of the contract review should be able to ensure that:

(1)识别申请组织的行业类别和与之相应的合规管理提供过程的特性和要求；Identify the applicant organization's industry category and the characteristics and requirements of the compliance management delivery process that correspond to it

(2)掌握国家对相应行业的合规管理体系认证的管理要求；Knowledge of national regulatory requirements for compliance management system certification in the appropriate industry

(3)申请组织及其管理体系的信息充分，可以进行审核； Sufficient information about the applicant organization and its management system to conduct the audit

(4)认证要求已有明确说明并形成文件，且已提供给申请组织； Certification requirements are clearly

stated and documented and provided to the applicant organization

(5)解决了ICAS认证与申请组织之间任何已知的理解差异； Resolves any known differences in understanding between ICAS and the applicant organization

(6)ICAS认证有能力并能够实施认证活动； ICAS is competent and able to implement certification activities

(7)考虑了申请的认证范围、申请组织的运作场所、完成审核需要的时间和任何其他影响认证活动的因素；Consideration was given to the scope of the certification applied for, the premises where the applicant organization operates, the time needed to complete the audit and any other factors affecting the certification activity;

(8)保持了决定实施审核的理由的记录。Records were maintained of the reasons for the decision to conduct the audit

6.2.3 对于获得CNAS认可的其他认证机构所颁发的CMS认证，ICAS可以按照CNAS-CC12实施转换。For CMS certifications issued by other certification bodies accredited by CNAS, ICAS may implement conversion in accordance with CNAS-CC12.

6.3 申请受理及签订合同 Acceptance of application and signing contract

6.3.1认证申请的受理 Acceptance of certification application

对符合要求的申请方，市场部可决定受理认证申请；对不符合上述要求的，市场部应通知申请组织补充和完善，或者不受理认证申请。

Upon meeting the requirements, the market department may decide to accept certification applications; if not, the market department shall notify the applicant organization to supplement and complete, or does not accept certification application.

市场部应完整保存认证申请的审查确认工作记录。

Market department shall store the whole record of the certification application.

6.3.2 签订合同 Signing contract

合同评审通过后，市场部与申请方签订《认证合同书》（AP0312），合同原件一式两份并妥善保存。并于当天或最迟不超过第二个工作日内将《管理体系认证申请表》（MFP0389）和相关申请材料转交审核部。

After the contract review is passed, the Marketing Department and the applicant sign the Certification Contract (AP0312), with the original contract in duplicate and kept properly, and forward the Management System Certification Application Form (MFP0389) and relevant application materials to the Audit Department on the same day or no later than the second working day.

6.4审核方案的策划 planning of audit programme

6.4.1 审核经理应识别审核方案开发、实施、管理和改进活动所必需的资源;

Audit managers shall identify the development, implementation and management of audit programme and improve necessary resource in audit activities;

6.4.2 方案策划由审核部负责，须清晰地识别相关审核活动。这些审核活动用以证实客户的管理体系满足标准GB/T 35770-2022/ISO 37301: 2021《合规管理体系 要求及使用指南》或其他规范文件的认证的要求。Program planning is the responsibility of the Audit Department and must clearly identify the relevant audit activities. These audit activities are used to confirm that the client's management system meets the requirements for certification to standard GB/T 35770-2022/ISO 37301: 2021 "Compliance management systems Requirements with guidance for use" or other regulatory documents.

方案管理人员完成《ICAS审核方案》中的基础部分 The Audit programme owner completes the basic section of “the ICAS Audit Programme”

审核组长首次审核后，需完成《ICAS审核方案》的“年度审核方案策划”（详见附件页）Audit team leader is required to complete the “annual audit programme planning” of “the ICAS Audit Programme” (Annex page for details) after the initial audit

6.4.3 确定审核人天和审核时间 Determination of audit man day and audit time

ICAS根据申请组织提交的信息，梳理清其规模、特性、管理体系覆盖的范围、认证要求和其承担的风险等因素，依照《CMS 审核人天表》核算并确定审核人天。

ICAS according to the information submitted by the applicant organization, sorting out its size, characteristics,, the scope of coverage of management systems, certification requirements and the risk it assumes and other factors, in accordance with the "CMS Audit Man-days Table" accounting and determine the audit man-days.

其中一阶段的审核所需要的时间应考虑企业资合规管理体系文件的复查程度，通常不超过总人天的三分之一。

The time required for audit of phase I shall take into account the degree of review of the company's compliance management system documentation, and shall normally not exceed one third of the total number of man-days.

6.4.4 多场所的抽样 Multi-site sampling

如果受审核方所申请认证的管理体系包含多个现场或多个临时场所，且这些场所都处于该申请组织授权和控制时，根据组织填写的《多现场/多场所 信息征询单》（MFP0350），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。该抽样方案应考虑到不同场所的活动是否存在可能对合规管理产生显著影响的区域性因素，如果是，则不能进行抽样。

If the auditee's management system for which certification is sought consists of multiple sites or multiple

temporary locations that are under the authorization and control of the applicant organization, a reasonable sampling plan is developed based on the organization's completed Multi-Site/Multi-Location Request for Information (MFP0350) to ensure that the management system for the various locations is properly audited. The sampling plan should take into account whether there are regional elements to the activities at the different sites that could have a significant impact on compliance management, and if so, sampling cannot be performed.

审核方案应包括两阶段初次审核，第一年与第二年的监督审核和第三年在认证到期前进行的再认证审核。审核方案的确定和任何后续调整应考虑组织的组织规模、其管理体系，服务过程的范围与复杂程度，以及经证实的管理体系有效性水平和以前审核的结果。

Audit programme shall include a two-stage initial audit--surveillance audits for the first year and second year, and recertification audit prior to certification expires in third year. Determination and any subsequent adjustments of the audit programme shall consider the size of the organization, its management system, the range of products and processes and complexity, as well as the level of effectiveness of proven management system and the results of previous audits.

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。

On-site audits shall be conducted during the normal operation of product production or services activities which are within certification scope.

6.4.5 初次审核 Initial audit

初次审核分一阶段和二阶段两个阶段的审核，为了实现一阶段目标（如6.6.2.2所述），一般情况下，一阶段需要现场进行，不进行一阶段的现场审核的情况见6.6.2.4。

Initial audit includes stage 1 audit and stage 2 audit. In general, in order to achieve the objective of stage 1 (stated in 6.6.2.2), stage 1 audit shall be on-site audit. Refer to 6.6.2.4 for situation without on-site stage one audit.

6.4.6 审核目的由审核部负责确认，审核目的应包括检查客户对于合规管理方面、合规系统方面以及合规全生命周期的策划。还应确保客户知晓并管理了合规管理各主题的风险。审核范围和准则包括任何更改应由审核部在市场部的协助下与申请认证客户商讨后确定。

The Audit Department is responsible for identifying the audit objectives, which should include checking the client's planning for the compliance management aspects, the compliance system aspects and the full compliance lifecycle. It should also be ensured that the client is aware of and manages the risks associated with each of the compliance management topics. The scope of the audit and guidelines, including any changes, shall be determined by the Audit Department, with the assistance of the Marketing Department, in consultation with the client applying for certification.

6.4.7 应要求组织说明是否存在不能提供给审核组的包含保密性或敏感性信息的CMS记录。ICAS

认证应确定是否能在缺少这些记录的情况下对CMS进行充分的审核。如果认为不对已识别的保密性或敏感性信息的CMS记录进行审核就不能保证CMS审核的充分性，则应告知组织只有在获得适当的防伪许可时才能进行认证审核。

The organization shall be asked to indicate whether there are CMS records containing confidential or sensitive information that cannot be made available to the audit team. ICAS shall determine whether an CMS audit can be adequately performed in the absence of such records. If it is believed that the adequacy of an CMS audit cannot be assured without auditing CMS records with identified confidential or sensitive information, the organization shall be advised that an audit can only be performed if it has obtained the appropriate anti-counterfeiting clearance.

6.5 现场审核的准备 Preparation for on-site audits

6.5.1 确定审核组 Determine the audit team

6.5.1.1 ICAS认证指定的认证审核人员必须具备合规管理体系认证资格。 The auditor appointed by ICAS must be qualified for compliance management system certification.

6.5.1.2 审核组应由取得合规管理体系认证资格的审核员组成。必要时可以补充技术专家以增强审核组的技术能力。 The audit team shall be composed of auditors who have obtained the qualification of compliance management system certification. Technical experts may be added as necessary to enhance the technical capability of the audit team.

6.5.1.3 具有相关合规管理工作经历和特定专业知识的技术专家可以成为审核组成员。技术专家应在审核员的监督下进行工作，可就受审核方管理体系中技术充分性事宜为审核员提供建议，但技术专家不能作为审核员。Technical experts with relevant compliance management experience and specific expertise may be members of the audit team. The technical expert shall work under the supervision of the auditor and may advise the auditor on the technical adequacy of the auditee's management system, but the technical expert may not act as an auditor.

6.5.2 审核部负责派遣的人员应将审核组派遣通知书在文件审核之前同时发放给客户及审核组，征求客户及审核组成员的意见，以避免利益冲突。如果客户反对审核组或审核组成员，声明有利益冲突，应立即调整审核组成员。The personnel in charge of dispatching in the Audit Department shall issue the notice of dispatching of the audit team to the client and the audit team at the same time before the document review to solicit the opinions of the client and the members of the audit team in order to avoid conflict of interest. If the Client opposes the Audit Team or the Audit Team members and declares that

there is a conflict of interest, the Audit Team members shall be adjusted immediately.

6.5.3 抽样准确度 Sampling accuracy

为保证多场所抽样的准确性，审核组应关注下述几点：To ensure the accuracy of multi-site sampling, the audit team should focus on the following points:

- 通过识别以下方面的差异，在初始合同评审和后续审核活动时应确定适当的抽样水平：Appropriate sampling levels should be determined during the initial contract review and subsequent audit activities by identifying discrepancies in the following areas:

1）地点，例如：场所规模，或在CMS内但不在认证范围内的临时场所的使用；Location, e.g., size of premises, or use of temporary premises within CMS but not within the scope of accreditation;

2）服务；service

3）顾客；client

4）参与服务提供的其他方（例如:内部团体、供方、作为供方的顾客）; Others involved in service delivery (e.g., internal groups, suppliers, customers as suppliers)

5）语言；language

6）管理体系的局部变化；Localized changes in management systems

7）法律法规要求；Requirements of laws and regulations

- 应从客户CMS范围中选择有代表性的样本。该选择应基于ICAS的决定，并体现上条中所述的因素和随机因素。A representative sample shall be selected from the client's CMS range. This selection shall be based on ICAS decisions and reflect the factors and randomization described in the preceding article.
- 审核计划的策划应考虑以上两条中的要求。计划应在认证审核间的3年周期内覆盖CMS全部范围内有代表性的样本。The planning of the audit program shall take into account the requirements in the above two articles. The program should cover a representative sample of the full scope of the CMS during the 3-year cycle between certification audits.

6.6 实施审核（初次审核、监督审核和再认证审核）Conducting audits (initial audits, surveillance audits and recertification audits)

6.6.1 审核计划编制 Audit Planning

审核组长在安排审核计划时应参照客户管理体系文件的描述及相关的职能分配表（客户有提供时）和《审核组派遣通知书》（MFP0308）合理安排审核时间和人员。审核组长或其指定的人员与审核组成员协商，对具体的过程、职能、或活动等的审核工作分配给审核组成员。审核工作的分配应考虑充分利用资源和时间，任务分配后，审核组长或其指定人员应对计划进行审核，审核计划应具有一定的灵活性，以允许更改，随着现场审核活动的进展，审核范围的更改可能是必要的，并注意以下事宜：

The audit team leader shall refer to the description of the client's management system document and the related function allocation table (when provided by the client) and the "Notice of Audit Team Dispatch" (MFP0308) to reasonably arrange the audit time and personnel when arranging the audit plan. The audit team leader or his/her designee shall consult with the audit team members and assign the audit work to the audit team members for specific processes, functions, or activities, etc. The audit team leader or his/her designee shall consider utilizing the resources. The allocation of audit work should consider the full utilization of resources and time. After the assignment, the audit team leader or his/her designee should review the plan, which should be flexible to allow for changes. As the on-site audit activity progresses, changes in the scope of the audit may be necessary, with attention to the following matters:

a) 审核计划应体现过程审核方式；The audit program should reflect a process audit approach

b) 实习审核员不可单独审核；Trainee auditors may not audit alone

c) 观察员不可执行审核； Observers may not perform audits

d） 技术专家必须分配作关键区域的审核员的陪同；为审核员提供技术咨询。技术专家不可做为审核员使用。为严肃保密性，技术专家陪同过程中个人记录应归档保存；

Technical experts must be assigned to accompany auditors in critical areas; provide technical advice to auditors. Technical experts may not be used as auditors. For the sake of seriousness and confidentiality, personal records of the technical expert's accompanying process shall be kept on file;

e） 见证审核员可以作为审核组成员，作为审核员见证时,不可同时审核,但作为审核组长见证时，可作为审核组成员同时参加审核； Witness auditor can be a member of the audit team. As an auditor to witness, can not be audited at the same time, but as the audit team leader to witness, can be a member of the audit team to participate in the audit at the same time;

f） 审核时间通常每天每人8小时； Audit time is normally 8 hours per person per day;

g） 审核时间应与《任务书》中一致； The audit time should be the same as in the Task;

h） 审核计划应由审核组长或审核组长指定的人员完成。若由于种种原因无法由审核组长或

审核组长指定的人员完成，由公司指定的其他人员完成时，审核组长应于现场审核前或现场时确认，必要时于现场进行适当调整，并于现场在审核计划上签字确认。调整不得违反上述要求，否则为审核组长的责任；The audit plan shall be completed by the audit team leader or the person designated by the audit team leader. If for any reason it cannot be completed by the audit team leader or the person designated by the audit team leader, and it is completed by other persons designated by the company, the audit team leader shall confirm it before the on-site audit or on-site, and make appropriate adjustments if necessary on-site, and sign and confirm it on the audit plan on-site. Adjustment shall not violate the above requirements, otherwise it is the responsibility of the audit team leader;

i） 采用计算机辅助远程审核所占的时间满足CNAS-CC14：2019及《CMS 审核人天表》的要求；The time taken up by the use of computer-assisted remote auditing meets the requirements of CNAS-CC14:2019 and the CMS Audit Man Day Table;

j）同一审核组不能连续对同一家企业连续评审两个周期。The same audit team cannot evaluate the same enterprise for two sequential cycles.

k） 新进审核员初试见证为现场见证，且见证审核员与被见证审核员至少有1小时以上针对部分条款分在同组审核，审核计划发给企业前应由审核部确认。New auditor first test witness for on-site witnessing, and the witness auditor and the witnessed auditor should have at least 1 hour or more for some of the provisions of the audit in the same group, the audit plan should be sent to the company before the audit department to confirm.

审核计划应包括： The audit plan should include:

●审核目的Audit purpose

●审核准则Audit principles

●审核范围Audit scope

●拟审核的组织和职能单元或过程

The organisation and functional unit or process that will be audited

●现场审核活动的日期和地点；The date and location of the on-site audit activity;

●现场审核活动预期的时间和期限，包括与受审核方管理层的会议及审核组会议；

The expected time and duration of the on-site audit activity, including meetings with auditee management and audit team meetings;

●审核组成员和向导的作用和职责；

The roles and responsibilities of audit team members and guides;

●为审核的关键区域配置适当的资源；

Allocate appropriate resources to the critical areas of the audit;

除上述信息外，适当时，审核计划还应包括：

In addition to the above information, where appropriate, the audit plan should include:

●明确受审核方的代表；Identification of the auditee's representative;

●审核所使用的语言；The language to be used for the audit;

●审核报告的主题；The theme of the audit report;

●后勤安排（交通、现场设施等）；Logistical arrangements (transport, on-site facilities, etc.);

●保密事宜；Confidentiality matters;

●审核后续活动。现场审核活动开始前，审核计划应当经审核委托方评审和接受，并提交受审核方。受审核方的任何异议应在审核组长、受审核方和审核委托方之间予以解决。任何经修改的审核计划应在继续审核前征得各方的同意。

Audit follow-up activities. Prior to the commencement of the on-site audit activities, the audit plan shall be reviewed and accepted by the audit client and submitted to the auditee. Any objections from the auditee shall be resolved between the Audit Leader, the auditee and the Audit Client. Any changes to the audit plan shall be agreed by all parties prior to continuation of the audit.

审核计划中出现的审核范围应说明审核的区域和边界。例如所审核的实际场所、组织单元、活动及过程。当初次认证或再认证过程包括一次以上审核（例如覆盖不同场所的审核）时，单次审核的范围可能并不覆盖整个认证范围，但整个审核所覆盖的范围应与认证方案中描述的范围一致。

The scope of the audit appearing in the audit plan should indicate the area and boundaries of the audit. For example, the actual sites, organizational units, activities and processes to be audited. When the initial certification or re-certification process consists of more than one audit (e.g. covering different sites), the scope of a single audit may not cover the entire scope of certification, but the scope covered by the entire audit should be consistent with the scope described in the certification programme.

审核组成员在审核前应与审核组长进行信息沟通，审核调度或审核组长负责确认后勤的安排，如交通方法、路线图、接车等事宜。在必要时的接车通知审核组长和受审核方各持一份。接车通知中应说明至少以下事项：

Audit team members should communicate information with the audit team leader prior to the audit. The audit scheduler or audit team leader is responsible for confirming logistical arrangements, such as method of transport, route maps, pick-ups and other matters. The audit team leader and the auditee each hold a copy of the pick-up notice when necessary. The pick-up notice shall state at least the following:

- 飞机航班、火车/汽车班次、出发时间、预计到达时间等；

Plane flights, train/bus schedules, departure time, estimated time of arrival, etc;

- 接车地点；Pick-up location;
- 审核组所有成员在审核中的作用、姓名及联系电话；

The roles of all audit team members in the audit, their names and contact numbers;

- 受审核方审核公司名称、审核地址、联络人方式及接车人联系方式；

The auditee's company name, audit address, method of contact and contact information of the pick-up person;

- 审核组的联系方式；接车通知上的信息应确保准确无误，客户签字确认的接车通知应保存在审核档案中（无法做到时，应以其它有效的方式通知审核组成员），以便审核组在审核前及时获得相关信息。

The contact details of the audit team; the information on the pick-up notice should be ensured to be accurate, and the pick-up notice signed and confirmed by the client should be kept in the audit file (when this is not possible, members of the audit team should be notified in other effective ways) so that the audit team can obtain the relevant information in time before the audit.

审核员代表 ICAS 认证的形象，应装束整洁、稳重，以西装为宜。

Auditors represent the image of ICAS and should be neatly and steadily dressed and a suit is appropriate.

审核组长在实施审核前就审核活动中观察员的到场及理由于申请认证客户达成一致。审核组长应确保观察员不影响或不干扰审核过程或审核结果。

Audit team leader should agree with the applicant client on the presence of observers during the audit activity and the reasons for their presence before the audit is carried out. The audit team leader should ensure that the observers do not affect or interfere with the audit process or audit results.

每个审核员宜由一名向导陪同，除非审核组长与客户另行达成一致。审核组长应确保向导不影响或干扰审核过程或审核结果。

Each auditor shall be accompanied by a guide, unless otherwise agreed between the audit leader and

the client. The audit team leader shall ensure that the guide does not influence or interfere with the audit process or results.

6.6.2 第一阶段审核 Phase I Audit

6.6.2.1 文件审核 Documentation Review

客户尚未提供管理手册、程序文件及相关文件时，应要求客户及时提供，并将手册文件及时提供给审核员。If the customer has not yet provided the management manual, procedure documents and related documents, the customer shall be requested to provide them in time, and the manual documents shall be provided to the auditor in time.

a) 文件审核应有专业审核员或技术专家的参与。由审核组长签名确认。The document review shall be participated by professional auditor or technical expert. Signed by the audit team leader to confirm.

b) 文件审核时，依据GB/T 35770-2022/ISO 37301:2021《合规管理体系 要求及使用指南》，以确认组织的文件中是否涵盖了标准的要求并满足标准的要求。The document review is based on GB/T 35770-2022/ISO 37301: 2021 "Compliance management systems Requirements with guidance for use" in order to confirm that the organisation's documents cover the requirements of the standard and meet the requirements of the standard.

c) 文件审核后应完成文件审核报告。文审中所发现的问题或需书面澄清的问题应记录在MFP0374《管理体系文审、一阶段审核结论及问题清单》中，审核员应签字并于现场审核前提交给客户。文审中发现的问题需在一个工作日内提交给企业，限期整改文件审核发现的不符合宜在第二阶段现场审核前完成； A document review report shall be completed after the document review. Issues identified in the document review or requiring written clarification shall be recorded in MFP0374, "Management System Document Review, Phase I Audit Conclusion and List of Issues", which shall be signed by the auditor and submitted to the client prior to the on-site audit. Problems identified in the document review need to be submitted to the company within one working day, the deadline for correction of non-conformity found in the document review should be completed before the phase II on-site audit;

d) 文件审核报告应归入该客户的审核档案。 The document review report should be filed in the customer's audit file.

e) 文审人员在关闭文审问题时，应MFP0374《管理体系文审、一阶段审核结论及问题清单》中纠正措施引用文件一栏中注明针对文审问题所纠正的手册及程序文件的条款号，并签字确认，应保留符合性证据； Document review personnel in the closure of the document review issues, should specify in the column of corrective measures cited documents in MFP0374 "Management System Document Review, Phase I Audit Conclusion and List of Issues" the article number of manuals and procedural documents corrected in response to the document review issues, and sign to confirm that evidence of conformity should be retained;

f) 就文件审核中所发现的描述与实际情况或申请范围不完全符合时，应作为文件审核问题给予描述，并要求客户给予书面的澄清。 When the description found in the document review is not in full compliance with the actual situation or the scope of the application, it shall be given as a description of the document review issue, and the customer shall be requested to give a written clarification.

6.6.2.2 第一阶段审核应在申请组织的现场进行，审核内容包括：

The Phase I audit shall be conducted at the applicant organisation's site and shall include:

(1) 审核申请组织的合规管理体系文件； Review of the applicant organization’s compliance management

system documentation;

(2)评价申请组织的运作场所和现场的具体情况，并与申请组织的人员进行讨论，以确定第二阶段审核的准备情况；Evaluating the specifics of the applicant organization’s operating location and site, and discussing with the applicant organization’s personnel to determine the preparedness for the Phase II audit;

(3)审查申请组织理解和实施合规管理体系标准要求的情况；Review the applicant organization’s understanding and implementation of the requirements in the compliance management system standard;

(4)审查申请组织是否系统而充分地识别与所提供的服务相关的法律法规和其他要求及其遵守情况； Review whether the applicant organization has systematically and adequately identified the laws, regulations and other requirements related to the services provided and their compliance;

(5)审查第二阶段审核所需资源的配置情况，并与申请组织商定第二阶段审核的细节；Review the allocation of resources required for the Phase II audit and discuss the details of the Phase II audit with the applicant organization;

(6)结合申请组织合规管理体系方针和目标，了解其审核准备状态，为策划第二阶段的审核提供重

点； Understand the applicant organization's audit preparedness in the context of its compliance management system policy and objectives, and provide a focus for the planning of the Phase II audit;

(7)评价申请组织是否策划和实施了内部审核与管理评审，以及合规管理体系的实施程度能否证明其已为第二阶段审核做好准备。Evaluate whether the applicant organisation has planned and implemented internal audits and management reviews, and whether the level of implementation of the compliance management system can demonstrate its preparedness for a Phase II audit.

6.6.2.3 当客户由于信息安全的原因在申请评审阶段不能提供给ICAS足够的信息时，则应通过第一阶段审核，在客户的现场补充对上述信息的确认，并完成申请评审。这种情况下，需增加第一阶段现场审核时间。When the customer is unable to provide ICAS with sufficient information at the application review stage due to information security reasons, the confirmation of the above information shall be supplemented at the customer's site through a Phase I audit and the application review shall be completed. In this case, additional time is required for the Phase 1 on-site audit.

6.6.2.4 ICAS认证应将第一阶段审核发现形成文件并告知申请组织，包括识别任何引起关注的、在第二阶段审核中可能被判定为不符合的问题。 ICAS shall document and inform the applicant organization of the findings from the Phase I audit, including identifying any issues of concern that may be judged as non-conformities in the Phase II audit.

6.6.3 第二阶段审核 Phase II Audit

第二阶段审核应在具备实施认证审核的条件下在申请组织的场所进行。

The Phase II Audit shall be carried out at the premises of the applicant organisation under conditions that are conducive to the performance of a Certification Audit.

如果第一阶段审核提出影响实施第二阶段审核的问题，这些问题应在第二阶段审核前得到解决。第二阶段审核的目的是通过在申请组织的现场进行系统、完整地审核，评价申请组织的合规管理体系是否满足所有适用的认证依据的要求，并判断是否推荐认证注册。应重点关注申请组织是否充分识别了合规管理过程的重要性，并证实与申请组织的合规管理活动是相适应的。

If the Phase I audit raises issues that affect the implementation of the Phase II audit, these issues should be resolved prior to the Phase II audit. The purpose of the Phase II audit is to evaluate whether the applicant organizations' compliance management system meets the requirements of all applicable certification bases by conducting a systematic and complete audit at the applicant organization's site and to judge whether to recommend registration for certification. The focus should be on whether the applicant organization has adequately identified the importance of the compliance management process and

confirmed that it is compatible with the applicant organization's compliance management activities.

6.6.3.1 开始会议 Opening meeting

会议由审核组长主持，审核组成员、受审核方管理层、受审核的职能或过程负责人参加，参会所有人员（包括审核组成员）应在《签到表》（MFP0312）上签到由审核组长保存记录。审核组长使用《首次会议查检表》（MFP0313）召开开始会议，会议的主要目的是简要解释将如何进行审核活动，并让顾客有提问的机会同时应包括下列要素。详细程度可与客户对审核过程的熟悉程序相一致，会议内容包括但不限于下述几点：

The meeting is chaired by the Audit Team Leader and attended by members of the Audit Team, management of the auditee, and the responsible person for the function or process being audited. All participants (including Audit Team members) shall sign in on the Sign-In Sheet (MFP0312) to be kept as a record by the Audit Team Leader. The Audit Team Leader uses the Opening Meeting Checklist (MFP0313) to convene a opening meeting, the main purpose of which is to briefly explain how the audit activity will be carried out and to give the customer an opportunity to ask questions, and should include the following factors. The level of detail can be consistent with the customer's familiarity with the audit process and should include, but not be limited to, the points below:

- 双方介绍与会者；包括简要介绍其角色；

Introduction of participants by both parties; including a brief description of their roles;

- 介绍审核性质、审核目的、审核依据；与客户确认认证范围，并向客户解释审核将根据确认的范围进行抽样；与客户确认审核范围内是否有法律所禁止的产品；

Introduce the nature of the audit, the purpose of the audit, the basis of the audit; confirm the scope of certification with the customer and explain to the customer that the audit will sample according to the confirmed scope; confirm with the customer whether there are products prohibited by law within the scope of the audit;

- 与客户确认审核场所，如果为多现场或多临时场所，且被审核方在申请时未向机构申报，应请客户填写《多场所多现场 在建项目清单》（MAP0350），在这种情况下，审核组长应合理调整审核计划，确保审核覆盖所有场所；审核组长认为涉及现场/场所抽样或审核人天不足时，应通知审核部；

Confirm the audit site with the customer, if it is a multi-site or multi-temporary site, and the audited party has not declared it to the organization at the time of application, the customer should be asked to fill in the "Multi-site and multi-place Project Under Construction Checklist" (MAP0350), in this case,

the audit leader should reasonably adjust the audit plan to ensure that the audit covers all the sites; the audit leader should notify the Audit Department when he thinks that there is insufficient on-site/location sampling or auditing man-days involved.

- 与客户确认各现场/场所的真实性和合法性，特别要确认该场所是否确实属于被审核方，以避免被审核方借用他人场所获取认证；

  Confirm the authenticity and legality of each site/place with the client, especially confirm whether the place actually belongs to the audited party, in order to avoid the audited party borrowing other people's place to obtain certification;

- 与客户确认企业名称的合法性；

Confirming the legality of the company name with the client;

- 确认审核计划；

Confirmation of the audit plan;

- 确认审核组和客户之间的沟通渠道；

Confirmation of communication channels between the audit team and the client;

- 确认审核组长和审核组代表认证机构对审核负责，并应控制审核计划（包括审核活动和审核路径）的执行

Confirmation that the audit team leader and audit team representing the certification body is responsible for the audit and shall be in control of executing the audit plan including audit activities and audit trails

- 与受审核方确认其他相关的安排，例如，末次会议的时间、地点、参加人员，审核组和受审核方管理层之间的临时会议以及任何新的变动；

Confirming other relevant arrangements with the auditee, e.g. the time, place and attendees of the closing meeting, ad-hoc meetings between the audit team and auditee management, and any new changes;

- 简要介绍审核活动如何实施；

Briefly describe how the audit activities will be carried out;

- 说明审核所用的抽样方法；

A description of the sampling methods used for the audit;

- 介绍审核程序；

A description of the audit procedure;

- 说明现场审核结论是推荐性结论；说明严重不符合项、轻微不符合项和观察项的定义及处理方法，以及对现场审核的影响程度

A statement that the on-site audit conclusion is a recommended conclusion; a statement of the definition and treatment of serious non-conformities, minor non-conformities and observations, and the extent of their impact on the on-site audit

- 宣布保密承诺和确认有关保密事宜；

Announcing a commitment to confidentiality and confirming matters relating to confidentiality;

- 宣布公正性声明；

Declaration of impartiality;

- 确认审核所使用的语言（必要时）；

Confirmation of the language to be used for the audit (if necessary);

- 确认审核组所需的资源和设施（临时办公、通讯、交通工具、劳动保护）；

Confirmation of the resources and facilities required by the audit team (temporary office, communications, transport, labour protection);

- 确认审核和工作的安全事项、应急和安全程序（存在时）；

Confirmation of safety matters, emergency and security procedures for the audit and the work (if present);

- 介绍陪同人员的作用并安排落实（向导、见证、联络）；

Describe the role of the accompanying person and arrange for its implementation (guide, witness, liaison);

- 关于审核过程发生争议时的处理程序；

Procedures for dealing with disputes about the audit process when they arise;

- 是否有需要澄清的事项；

Whether there are matters that need clarification;

- 安排受审核方领导讲话；

Arranging for the auditee's supervisor to speak;

- 将表单《专业交底记录》(MFP0348) 交技术专家填写（适用时）；

Handing over the form Professional Handover Record (MFP0348) to the technical expert for completion (when applicable);

- 按 ICAS 认证的要求做好首次会议记录；

Take records of the opening meeting as required by ICAS;

- 说明可能中止的条件；

Describe conditions for possible suspension;

- 确认以往评审或审核的发现的状态（适用时）；

Confirming the status of findings from previous reviews or audits (when applicable);

- 确认在审核中将告知客户审核进程及任何关注点；

Confirm that the client will be informed of the audit process and any points of concern during the audit;

- 让客户提问的机会

Opportunity for the client to ask questions.

6.6.3.2 审核中的沟通Communication during audit

1）根据客户的审核范围及复杂程度，审核组长应安排必要的沟通渠道及沟通方式；

According to the scope and complexity of the customer's audit, the audit team leader shall arrange the necessary communication channels and communication methods;

2）审核时间超过一天以上时，审核组长应每天组织审核组内部进行一次简短的会议，以便：

When the audit lasts more than one day, the audit team leader shall organise a short meeting within the audit team every day in order to:

a) 交换信息；Exchange of information;

b) 评定审核进展情况；Assess the progress of the audit;

c) 必要时，重新分配审核组成员的工作。 If necessary, redistribute the work of audit team members.

3）视组织规模及其复杂程度，审核组长应定期向客户通报审核进展情况及相关情况。

Depending on the scale of the organisation and its complexity, the audit team leader shall keep regular briefings to the client on the progress of the audit and related circumstances.

4）审核组成员在审核中发现重大不符合时，应及时报告审核组长，并由组长与客户沟通。

Audit team members should report to the audit team leader when they find major non-conformities during the audit, and the team leader should communicate with the customer.

5）审核组成员如发现超过范围之外的引起关注的问题时，应当指出并向审核组长报告，必要时，应通报客户。

Audit team members should point out and report to the audit team leader if they find problems beyond the scope that cause concern, and, if necessary, should inform the customer..

6）当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事件、事故，例如安全风险等情况时，审核组长应与审核部取得联系,并同客户商量确定补救措施或中止审核。补救措施可以考虑以下方式：

When the audit evidence obtained shows that the purpose of the audit can not be achieved, or shows that there are emergencies and major incidents, accidents, such as security risks, etc., the audit team leader should contact the Audit Department and consult with the client to determine the remedial measures or suspension of the audit. The following remedial measures may be considered:

a) 重新安排审核时间及审核计划；

a) Reschedule the audit time and audit plan;

b) 修改审核计划，对存在重大不符合项的相关区域另外安排时间跟踪审核；

b) Modify the audit plan, and schedule additional time to follow up the audit for the relevant areas where major non-conformities exist;

c) 改变审核目的及审核范围。

c) Change the purpose and scope of the audit.

7）当现场审核时,出现企业人数、名称、地址或/及审核范围变更，审核组长负责与ICAS认证审核部取得联系并填写《变更申请》（MFP0360），由企业签字确认后传回给公司审核部进行评审。审核部审核方案管理人员负责变更的评审,对于认证业务范围的变更或/及企业人数的变更应确定下述事宜后决定应采取的措施：

(7) When the on-site audit, there are changes in the number, name, address or / and audit scope of companies, the audit team leader is responsible for contacting the ICAS certification audit department and fill out the " Change Application " (MFP0360), the company signed and confirmed and returned to the company's Audit Department for review. The Audit Programme Manager of the Audit Department is responsible for reviewing changes and deciding on the measures to be taken for changes in the scope of certification or/and changes in the number of companies by identifying the following matters:

a) 认证业务范围的变更

Changes to the scope of the certification business

- 评估审核组成员的业务能力；

Assessing the business competence of audit team members;

- 评估认可的业务范围；

Assess the scope of accredited business;

- 征求客户的意见。

Ask the customer for his/her opinion.

b) 企业人数的变更

Change in the number of people in the company

- 审核人天的变更

Change of audit man-days

- 审核计划的调整

Adjustment of audit plan

- 征求客户的意见

Ask the customer's opinion

8）任何审核组成员如发现其所审部门实际没有分配给其要素活动，应随时通知审核组长，由审核组长进行调整以避免审核结束后遗漏要素，对审核计划的调整务必符合的6.6.1的要求。

Any audit team member who finds that the audited department is not actually assigned to the elements activities, should notify the audit team leader at any time, the audit team leader to make adjustments in order to avoid missing elements at the end of the audit, the adjustment of the audit plan must be in line with the requirements of 6.6.1.

9）审核组长应召集审核组成员对审核过程中的发现在末次会议前进行讨论并综合评价，确定构成不符合项时，应经审核组长确认同意后，方可向受审核方提出，当审核员与审核组长就不符合项产生争议时，审核员现场应服从审核组长的安排。事后可将该争议提报ICAS认证技术委员会裁定。

The audit team leader shall convene the audit team members to discuss and comprehensively evaluate the findings of the audit process before the closing meeting to determine what constitutes a nonconformity. It should be confirmed and agreed by the audit team leader before it can be proposed to the auditee. When a dispute arises between the auditor and the audit team leader on the non-conformity, the auditor shall obey the arrangement of the audit team leader on site. The dispute can be submitted to the ICAS Technical Committee for a ruling afterwards.

10)现场审核发现人数严重失实导致审核无法按计划完成时,应首先填写《变更申请》(MFP0360),由企业签字确认，传回审核部以便审核部重新进行审核人天的确认，审核组长负责与企业协调补救措施。

When the on-site audit finds that the number of people is seriously inaccurate resulting in the audit can not

be completed according to the plan, it should firstly fill in the " Change Application " (MFP0360). After signing and confirming by the company, it will be sent back to the Audit Department so that the Audit Department can re-audit the confirmation of the number of man-days, and the audit team leader is responsible for co-ordinating the remedial measures with the company.

11）当与客户就不符合项发生分歧时,审核组应首先虚心听取客户的解释，决不可武断或以自己以往的经验要求客户，应努力以适当的、富有建设性、专业的方式解决与客户之间的分歧；如客户的解释合理，应取消发生争议的不符合项。如争议无法解决，应向客户解释ICAS认证有关《申诉、投诉、争议处理程序》（ICASP06）对争议的处理方法。

When disagreements occur with the customer on non-conformity, the audit team should firstly listen to the customer's explanation with humility, and must not request the customer arbitrarily or with their own past experience, and should try to solve the disagreement with the customer in an appropriate, constructive and professional way; if the customer's explanation is reasonable, the disputed non-conformity should be cancelled. If the dispute cannot be resolved, the handling of the dispute by ICAS regarding the Grievance, Complaint, Dispute Handling Procedure (ICASP06) shall be explained to the client.

12）若审核组内部或与受审核方之间发生无法处理或协调的异常/突发事件，审核组长应立即上报总经理。

If an unusual/emergency situation occurs within the audit team or with the auditee that cannot be handled or coordinated, the audit team leader shall immediately report it to the general manager.

6.6.3.3 信息的搜集、验证和记录Collection, Validation and Record of Information

6.6.3.3.1 在审核中审核员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，并对这些信息进行验证，使之成为审核证据。

6.6.3.3.1 During the audit, the auditor obtains information relevant to the audit purpose, scope and criteria through appropriate sampling and validates this information to make it into audit evidence.

6.6.3.3.2 审核组成员应在其承担的审核工作内，根据审核计划、用抽样的方式进行信息的收集，信息的来源可以是：

6.6.3.3.2 Audit team members shall collect information by sampling according to the audit plan within the audit they are undertaking.The source of the information can be:

a) 与员工和其他人员的交谈,当非被审核人员(如顾问)代替被审核人员不断回答问题时，相关审核组员应给予适当的制止；

During conversations with employees and others, when non-audited personnel (e.g. consultants) are

answering questions continuously instead of the auditee, the relevant audit team member shall provide appropriate stops;

b) 对活动、周围工作环境和条件的观察；

Observations of activities, surrounding work environment and conditions;

c) 文件，如：方针、目标、计划、程序、标准、指导书、规范、图样、合同、营业执照、许可证、产品强制性检验报告、订单等；

Documents such as: policies, objectives, plans, procedures, standards, instructions, specifications, drawings, contracts, business licences, permits, mandatory product inspection reports, orders, etc;

d) 数据的汇总、分析、和业绩指标；

Data aggregation, analysis, and performance indicators;

e) 客户抽样方案的信息、抽样和测量过程的信息；

Information on customer sampling programmes, sampling and measurement processes;

f) 其他方面的报告，如：客户抱怨、反馈等；

Reports from other areas, e.g., customer complaints, feedback, etc;

g) 计算机数据库和网站；

Computerised databases and websites;

h) 记录；

Records;

6.6.3.3.3 审核记录 Audit Records

所有记录包括从申请、合同评审、任务书、文件审核报告、审核计划等所有与审核相关的记录和文件，审核部均应将原件以电子档案或书面形式予以保留在公司，审核组或任何其它人员不可将原件带离公司。

All records, including all audit-related records and documents from application, contract review, task letter, document review report, audit plan, etc., the Audit Department shall retain the original in the company as electronic files or in written form, and the audit team or any other personnel shall not take the original out of the company.

采用计算机技术进行远程审核时，要详细记录以下信息：

When computer technology is used for remote auditing, the following information should be recorded in detail:

a) 采用何种计算机辅助技术进行的远程审核；

a) What computer-assisted technology was used to conduct the remote audit;

b) 远程审核项目、远程地址；

b) Remote audit project, remote address;

c) 对方参加远程审核参加人员；

c) The participants of the other party in the remote audit

d) 调用的文件和记录名称；

d) The name of the documents and records called;

e) 通过视频或电话等审核的人员名称和职务；

e) Name and position of the person audited by video or telephone, etc.;

f) 符合/或不符合的关键证据。

f) Key evidence of compliance / or non-compliance.

记录中应避免涂改液或其它方式覆盖原始记录，必须纠正时，可以以划改的方式修正，并由原记录人签字。

Records should be kept so as to avoid overwriting the original record with correction fluid or otherwise. When corrections must be made, they may be made by scratching and signed by the original record keeper.

审核记录使用的文字为中文，特殊情况下，经批准可使用外文。审核记录应体现审核证据，证据可以是人证、物证、质量记录等。如：具有可追溯的抽样（产品名称和批号等），面谈的人员姓名和见证人等。

Audit records shall be written in Chinese, and in special cases, foreign languages may be used with approval. Audit records should reflect the audit evidence. Evidence can be human evidence, physical evidence, quality records, etc.. For example: with traceable sampling (product name and batch number, etc.), the name of the person interviewed and witnesses.

应当记录具体的不符合和支持的审核证据； 符合要求和支持的审核证据的记录应简明扼要，具有唯一可追溯性。

Specific non-conformities and supporting audit evidence should be recorded; records of conformities and supporting audit evidence should be concise and uniquely traceable.

6.6.3.3.4 审核组长在审核过程中应随时检查审核组成员是否按照ICAS认证程序要求使用文件。

6.6.3.3.4 The audit team leader shall check at all times during the audit that the audit team members are using the documentation in accordance with ICAS procedures.

6.6.3.3.5 实习审核员指导对实习审核员的记录负责。

6.6.3.3.5 The trainee auditor supervisor is responsible for the trainee auditor's records.

6.6.3.4 确定和记录审核发现 Identifying and documenting audit findings

6.6.3.4.1 审核组成员对照审核准则对审核记录的完整性进行确认,以确保审核充分性和完整性，并评价审核证据，形成审核发现，记录符合与不符合的审核发现。

6.6.3.4.1 Audit team members verify the completeness of the audit record against the audit criteria to ensure the adequacy and completeness of the audit, evaluate the audit evidence, form audit findings, and record audit findings of compliance and non-compliance.

6.6.3.4.2 审核组长应在末次会议之前,召开审核小组会议，审核组应:

6.6.3.4.2 The audit team leader shall convene a meeting of the audit team prior to the closing meeting and the audit team shall.

a) 针对审核目的,评审审核发现及审核过程中所发现的其它信息;

a) For the purpose of the audit, review the audit findings and other information found during the audit process;

b) 考虑审核过程中不确定的因素,对审核结论达成一致;

b) Consider the uncertainties in the audit process and agree on the audit conclusions;

c) 根据管理评审、内部评审的适宜性及本次审核发现，及确保审核的连续性，对下次监督审核的需关注的部门和要素、过程提出建议;

c) Based on the appropriateness of the management review, internal review and the findings of the audit, and to ensure the continuity of the audit, the department and the elements and processes that need to be focused on for the next surveillance audit will be recommended;

d) 确定任何必要的跟踪活动;

d) Identify any necessary follow-up activities;

e) 确认审核方案的适宜性，或识别任何需要的修改（例如范围、审核时间或日期、监督能力）

e) Confirm the appropriateness of the audit programme or identify any required modifications (e.g., scope, time or date of audit, surveillance capabilities)

6.6.3.4.3 审核组成员应分别将所发现的不符合项记录于《不符合项报告》（MFP0314）中，并对不符合项分级。关于不符合的审核发现应对照具体要求予以记录，包含对不符合的清晰陈述（详细标识不符合所基于的客观证据）。

6.6.3.4.3 Audit team members shall individually record the non-conformities found in the

Non-Conformity Report (MFP0314) and grade the non-conformities. Audit findings of non-conformity shall be recorded against specific requirements and include a clear statement of the non-conformity. (Identify in detail the objective evidence on which the non-conformance is based).

6.6.3.4.4 可以识别和记录改进机会；但是属于不符合的审核发现不应作为改进机会予以记录。

6.6.3.4.4 Opportunities for improvement may be identified and recorded; however, audit findings that are non-conformities shall not be recorded as opportunities for improvement.

6.6.3.4.5 审核组应就不符合项与客户沟通，确认审核证据的准确性且不符合得到理解。但是不应提示不符合的原因或解决方法。

6.6.3.4.5 The audit team shall communicate with the customer regarding the non-conformity to confirm that the audit evidence is accurate and that the non-conformity is understood. However, the cause of the non-conformity or its resolution shall not be indicated.

6.6.3.4.6 审核组长应尝试解决审核组与客户之间关于审核证据或审核发现的任何分歧意见，未解决的分歧点应予以记录。

6.6.3.4.6 The audit team leader shall attempt to resolve any disagreements between the audit team and the customer regarding the audit evidence or findings, and any unresolved points of disagreement shall be documented.

6.6.3.5 准备审核结论Preparing audit conclusions

审核组通过对审核发现的讨论，应形成审核结论。审核组在这个阶段应：

The audit team shall form audit conclusions by discussing the audit findings. At this stage the audit team shall:

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；

a) Review the audit findings and any other applicable information obtained during the audit against the audit objectives and audit criteria and grade the non-conformities;

b）考虑审核过程中内在的不确定性，就审核结论达成一致；

b) Consider the uncertainties inherent in the audit process and agree on the audit conclusions;

c）就任何必要的跟踪活动达成一致；

c) Agree on any necessary follow-up activities;

d）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、监督频次、审核组能力）。

d) Confirm the appropriateness of the audit programme or identify any modifications required for future audits (e.g., certification scope, time or date of audit, frequency of surveillance, audit team capability).

6.6.3.6 召开末次会议 Convening the closing meeting

审核组全体人员、受审核方有关领导及人员参加，由审核组长主持，并以受审核方能够理解和认同的方式提出审核发现和结论,审核组长可使用《结束会议查检表》（MFP0316）以免遗漏有关的事项。必要时，可以解释审核发现和对审核标准的理解。

All audit team members and relevant leaders and personnel of the auditee attend the meeting, which is chaired by the audit team leader, and present the audit findings and conclusions in a manner that the auditee understands and agrees with. The audit team leader may use the "Closing Meeting Checklist" (MFP0316) to avoid missing relevant matters. If necessary, the audit findings and understanding of the audit criteria may be explained.

末次会议主要内容：Main contents of the closing meeting:

- 请与会者填写《签到表》(MFP0312）：

Participants are requested to fill in the Sign-in Sheet (MFP0312):

- 审核情况报告：主要是确认本次审核的范围、确认不符合报告、管理体系的综合评价、确认审核结论、认证的推荐性意见、审核报告的分发等；

Audit status report: mainly to confirm the scope of this audit, confirmation of non-conformity report, comprehensive evaluation of the management system, confirmation of the audit conclusions, recommended opinion of certification, and distribution of the audit report;

- 重申抽样方法；

Reaffirmation of sampling methods;

- 审核组审核结论的说明以及企业针对不符合项制定纠正措施、实施及自行验证关闭、审核组长验证关闭、ICAS 认证注册部评定、ICAS 认证总经理批准、发证（初审）/资格保持（监督）过程的说明；

Explanation about the audit conclusions of the audit team and the process of developing corrective measures for non-conformities, implementation and self-certification of closure, verification of closure by the head of the audit team, evaluation by the ICAS registration department, approval by the general manager of ICAS, and issuance of certificates (initial review)/qualification retention (surveillance);

- 解释不符合项的分级及纠正措施的要求（如进行再认证应规定在认证终止前实施纠正与纠正措施的时限，从而使新的认证周期在上一个认证周期结束前已经生效）；应明确要求客户在规定的期限内分析原因，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。

Explanation about the grading of non-conformities and the requirements for corrective measures (e.g. recertification should specify a time limit for the implementation of corrective and remedial measures prior to the termination of the certification, so that the new certification cycle is already in effect before the end of the previous one); the client should be explicitly requested to analyse the causes within a specified period of time and to state the specific corrective and remedial measures that have been taken or are proposed to be taken for eliminating the non-conformity.

- 监督审核要求；

Surveillance audit requirements;

- 认证证书和标志的使用要求；

Requirements for the use of certification certificates and logos;

- 重申公正性声明、保密承诺；

Reaffirmation of impartiality statement, confidentiality commitment;

- 受审核方信息沟通的要求；

Requirements for communication of information of audited parties;

- ICAS 的审核后活动

ICAS’s post audit activities;

- 需要澄清的问题；

Issues requiring clarification;

- 说明投诉处理过程和申诉过程

A description of the complaint handling process and the grievance process

在末次会议上，给客户提出问题的机会。审核组与客户之间关于审核发现或结论的任何分歧意见应得到讨论并尽可能获得解决。任何未解决的分歧意见应予以记录并提交认证机构。

An opportunity for the client to ask questions at the closing meeting. Any disagreements between the audit team and the client regarding audit findings or conclusions shall be resolved by discussion and resolve to the extent possible. Any unresolved disagreements shall be recorded and submitted to the certification body.

6.6.3.7 现场审核结束前审核信息及审核文件的收集

6.6.3.7 Collection of Audit Information and Audit Documents before Completion of On-site Audit

审核组长负责以上审核信息的收集及并根据《ICAS审核记录表》（MFP0309）对以下审核文件的收集及确认：

The audit team leader is responsible for the collection of the above audit information and the collection and confirmation of the following audit documents according to the ICAS Audit Record Form (MFP0309):

- 初次认证审核，请受审核方签字确认“客户信息确认表”；

For the initial certification audit, request the auditee to sign and confirm the "Client Information Confirmation Form";

- 审核计划和审核经历表（必要时）请受审核方盖章；

Audit Plan and Audit Experience Form (if necessary) should be stamped by the auditee;

- 技术专家完成的《专业交底记录》(MFP0348)，并请所有审核组成员在受训栏中签字（适用时）；

The Technical Expert's completed Professional Handover Record (MFP0348) and have all review team members sign in the Trained column (if applicable);

- 签字后的《技术专家须知》（MFP0344）（适用时）；

Signed Technical Expert Instructions (MFP0344) (if applicable);

- 签到表；

Sign-in sheet;

- 签字后的公正性声明；

Signed Impartiality Statement;

- 审核记录；

Audit record;

- 审核报告；

Audit report;

- 客户签字后的合同；

Signed contract from the client;

- 其它所收集的必要信息。

Other necessary information collected.

6.6.4 审核报告 Audit Report

6.6.4.1 ICAS在每次审核后向客户提供书面的审核报告。该审核报告的所有权归ICAS享有。

6.6.4.1 ICAS provides the Client with a written audit report after each audit. Ownership of the audit report is vested in ICAS.

审核组长负责审核报告的编制，并对审核报告的内容负责。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 Team Leader is responsible for the preparation of the Audit Report and is accountable for the content of the Audit Report. The audit report shall provide an accurate, concise and clear record of the audit in order to provide sufficient information for the certification decision and shall include or cite the following:

- 认证机构ICAS的名称；

The name of the certification body ICAS;

- 客户的名称、地址及客户代表；

The name and address of the client and the client's representative;

- 审核类型，审核准则，审核目的，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；

The type of audit, audit criteria, audit purpose, scope of the audit, specifically identifying the organization or functional unit or process being audited, and the audit time;

- 审核组长、审核组成员及任何与审核组同行的人员

The audit team leader, audit team members and any persons accompanying the audit team

- 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 date and place where the audit activity (on-site or off-site, permanent or temporary site) will be performed;

- 与审核类型的要求一致的审核发现（见6.6.3.4）、对审核证据的引用以及审核结论；

Audit findings consistent with the requirements of the audit type (see 6.6.3.4), references to audit evidence, and audit conclusions;

- 任何偏离审核计划的情况及其理由；任何影响审核方案的重要事项；

Any deviations from the audit plan and the reasons for them; any significant matters affecting the audit programme;

- 已识别出的任何未解决的问题；

Any unresolved issues identified;

- 审核组的推荐意见；

The audit team's recommendations;

- 说明审核基于对可获得信息的抽样过程的免责声明；

A disclaimer stating that the audit is based on a sampling process of available information;

- 其他在适用条件下的必要说明。

Other statements as necessary under applicable conditions.

6.6.4.2 审核报告还应包含：The audit report shall also contain:

- 关于合规管理体系内部审核和管理评审的过程相关证据；

Evidence relating to the process of internal audits and management reviews of the compliance management system;

- 对认证范围的界定，提及范围的任何变更，并描述所遵循的重要审核路线和所使用的审核方法；

A definition of the certification scope, mentioning any changes to the scope and describing the significant audit routes followed and audit methods used;

- 应包括审核组对客户合规管理体系管理体系认证的推荐意见，以及证实该推荐意见的信息。

The audit team's recommendation for management system certification of the client's compliance management system shall be included, along with information to substantiate the recommendation.

- 确认是否达到审核目的。

Confirm whether the purpose of the audit was met.

6.6.4.3 不符合项的原因分析、处理及验证的方式

6.6.4.3 Ways of analyzing the causes of non-conformities, handling and verifying the non-conformities

ICAS审核组在末次会议时明确告知客户需在规定期限内分析原因，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。

The ICAS audit team clearly informs the client at the closing meeting that the causes need to be analyzed within the specified period, and states the specific corrective and remedial measures that have been taken or are proposed to be taken for the elimination of the non-conformity.

审核组长或ICAS指定人员负责跟踪不符合项的关闭，确保不符合项在规定的时间内的有效整

改，对客户直接发至机构的不符合整改材料进行管理并请审核员确认。应将复核和验证的结果告知客户。如果为了验证纠正和纠正措施的有效性，将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），则认证机构应告知客户。

The audit team leader or ICAS designee is responsible for tracking the closure of the non-conformity, ensuring effective rectification of the non-conformity within the specified timeframe, managing the non-conformity rectification material sent directly to the organisation by the client and requesting confirmation from the auditor. The results of the review and validation should be informed to the client. The certification body shall inform the client if an additional full or limited audit will be required to validate the effectiveness of the corrections and corrective actions, or if documented evidence will be required (which will need to be confirmed in future audits).

不符合的分类：严重不符合项、轻微不符合项。

Classification of non-conformities: major non-conformities, minor non-conformities.

- 严重不符合项的验证方式：Validation method for major non-conformities:

受审核方应在现场审核后的2周内提交ICAS认证整改计划，并在3个月内提交ICAS认证有关的整改措施实施有效性的证据，机构首先进行书面验证，并在必要时指定审核员于现场对纠正措施的有效性进行验证。三个月后未提交纠正措施及实施效果的证明材料，已认证客户作撤销证书处理，初次认证客户作不发证决定。

The auditee should submit the correction plan to ICAS within 2 weeks after the on-site audit, and submit the evidence of the effectiveness of the corrective measures to ICAS within 3 months, the organisation will firstly carry out the written verification, and designate the auditor to verify the effectiveness of the corrective measures on-site if necessary. After three months without submitting evidence of the effectiveness of the corrective measures and implementation, the certified customer will be withdrawn the certificate, the customer of the initial certification was decided not to issue the certificate.

- 轻微不符合项的验证方式：Validation method for minor non-conformities:

初次认证和再认证时，受审核方应在30天内提交ICAS认证纠正措施及实施效果的证明材料，再认证不符合项实施纠正和纠正措施的时限宜在认证证书有效期终止前，由机构指定人员完成不符合项关闭的书面确认。未按期完成整改的，已获证客户作暂停证书处理，最长六个月期间内未提交纠正措施及实施效果的证明材料的，已获证客户作撤销证书处理，初次认证客户作不发证决定。监督审核时，受审核方应在30天内提交纠正措施；特殊情况下，可提交纠正措施计划，

其有效性可在下次监督审核/复评时现场验证。

In the initial certification and re-certification, the auditee should submit evidence of the effectiveness of corrective measures and implementation within 30 days to ICAS.The time limit for the re-certification of the implementation of corrections and corrective measures for non-conformities is appropriate before the termination of the validity of the certification certificate. The agency designated personnel to complete the written confirmation of non-conformity closure. Failure to complete the correction within the deadline, the certified client will be suspended the certificate, and if the corrective measures and the supporting materials of the implementation effect are not submitted within the maximum period of six months, the certified client will be withdrawn the certificate, and the initial certification client will be decided not to issue the certificate. During the surveillance audit, the auditee shall submit corrective measures within 30 days; under special circumstances, a corrective measures plan may be submitted, the effectiveness will be verified on-site during the next surveillance audit/re-evaluation.

6.6.4.4 审核结论：Audit conclusions:

- 推荐注册/维持证书：当审核发现的不符合项都已采取纠正措施并经验证后，初次认证和再认证时，推荐注册，监审时，推荐保持注册；

  Recommendation of registration/maintenance of certificates:When the audit found non-conformities have been taken corrective measures and verified, in the initial certification and re-certification, recommended registration, in the surveillance audit, recommended to maintain registration;

- 推荐变更注册：当经过审核或核验确认获证组织的名称、地址、人数、认证范围、认证标准等基本信息变更符合要求时，推荐为其变更注册信息；当结合年度审核予以变更时，同时给出推荐保持注册和推荐变更的意见。

  Recommendation to change the registration: When the audit or verification confirmed that the certified organization’s name, address, number of people, scope of certification, certification standards and other basic information changes meet the requirements, it is recommended to change the registration information; it is changed in conjunction with the annual audit, at the same time to give the recommendation to maintain registration and the recommendation to change.

6.6.5 发生以下情况时，审核组应终止审核，并通过填写《终止审核报告及流转单》方式，及时向ICAS认证报告：

6.6.5 In the event of the following circumstances, the audit team shall suspend the audit and report to

ICAS in a timely manner by completing the " Audit Suspension Report and Flow Sheet ":

（1）申请组织对审核活动不予配合，审核活动无法进行。

(1) The applicant organization does not cooperate with the audit activities and the audit activities cannot be carried out.

（2）申请组织的管理体系有重大缺陷，不符合标准GB/T 35770-2022/ISO 37301: 2021《合规管理体系 要求及使用指南》的要求。

(2) The management system of the applicant organization has major defects and does not meet the requirements of the standard GB/T 35770-2022/ISO 37301: 2021 "Compliance management systems Requirements with guidance for use".

（3）发现申请组织存在重大质量安全问题或有其他严重违法违规行为。

(3) The applicant organization is found to have major quality and safety issues or other serious violations.

（4）其他导致审核程序无法完成的情况。

(4) Other circumstances that make it impossible to complete the audit procedure.

6.6.6 审核结案 Audit Closure

- 审核组长或其指定的人员获悉已收到受审核方的整改资料后，审核组长或其委托的人员应在 2 个工作日内对纠正措施实施的有效性和符合性进行确认关闭。纠正措施不满足要求时应于当天立即联系客户向客户说明要求，并跟踪直至关闭为止。审核组长应采取适宜的方法对关闭的不符项确认。

  After the audit team leader or his/her designated personnel is informed that the auditee's corrective measures information has been received, the audit team leader or his/her delegated personnel shall confirm the closure of the effectiveness and compliance of the implementation of corrective measures within 2 working days. If the corrective measures do not meet the requirements, the customer shall be contacted immediately on the same day to explain the requirements to the customer and follow up until closure. The audit team leader shall take appropriate methods to confirm the closure of the non-conformity.

- 对注册部在认证决定过程中提出的问题，审核组长及相关的审核员应有责任作出解释并采取积极的补救措施。

  For issues raised by the Registration Department during the certification decision process, the Audit Team Leader and the relevant auditor shall have the responsibility to provide explanations and take positive corrective measures.

审核结案时，应提交审核报告，报告应包括或引用以下内容：

When the audit is closed, an audit report shall be submitted, which shall include or cite the following:

a) 标识出ICAS认证；

a) Identifying the ICAS;

b) 申请认证客户及其管理者代表的名称/名称和地址；

b) The name and addresses of the client applying for certification and their management representative;

c) 审核类型；

c) Type of audit;

d) 审核准则；

d) Audit criteria;

e) 审核目的；

e) Audit purpose;

f) 标识出审核组长、审核组成员及其个人注册信息；

f) Identifies the audit team leader, audit team members and their individual registration information;

g) 如已识别出任何未解决的问题；

g) Any unresolved issues, if identified;

h) （现场或非现场）审核活动的实施地点和日期；

h) The location and date of implementation of the audit activity (on-site or off-site);

i) 受审核的所有场所的名称和地址及管理者代表；

i)The names and addresses of all sites audited and the management representative;

j) 是否采用电子远程审核；

j) Whether electronic remote auditing was used;

k) 已审核的认证范围或涉及范围，包括依据的适用的标准和（或）其他规范性文件包括版次和（或）修订号；

k)The scope or coverage of the audited certification, including the applicable standards and/or other normative documents including edition and/or revision numbers on which it is based;

l) 与审核要求一致的审核证据、审核发现和审核结论，

l) audit evidence, audit findings and audit conclusions that are consistent with the audit

requirements.

m) 解释与末次会议上提供给供方的信息的差异

m) Explanation of discrepancies with the information provided to the supplier at the closing meeting

n) 已识别出的任何未解决的问题；

n) Any unresolved issues that have been identified;

o) 英格尔制定书面报告格式，归纳审核发现，及有关供方是否在满足对证书确定的范围内提供的产品或服务符合商定要求的能力的决定。该书面报告中还应包括下列信息：

o) ICAS develops a written report format and summarizes the findings of the audit and the decision on the ability of the supplier to meet the agreed requirements for the products or services provided within the scope defined for the certificate. The written report shall also include the following information:

- 内部审核的可信任程度；

The confidence level of the internal audit;

- 有关 CMS 的实施中最重要的正面和负面的观察总结;监督及复评时应与以往对顾客评审结果作有用的比较；

A summary of the most significantly positive and negative observations about the implementation of the CMS; the surveillance and re-evaluation should provide useful comparisons with the results of previous customer reviews;

- 审核组的结论；

Conclusions of the audit team;

- 客户确认的意见。

Observations confirmed by the customer.

p) 所做的观察、包括正面的和负面的（潜在不符合、改进机会）的说明；

p) A description of the observations that have been taken, including both positive and negative (potential non-conformities, opportunities for improvement);

q) 审核日期。

q) Date of the audit.

审核组长或其指定的人员完成审核报告后,将审核档案提交注册部评审；

The audit team leader or his/her designee completes the audit report and submits the audit file to the Registration Department for review;

6.6.7 监督活动Surveillance activities

6.6.7.1 监督频次 Frequency of surveillance

ICAS认证应在满足认可要求的基础上，根据获证组织合规管理体系覆盖的业务活动的特点以及所承担的风险，合理设计和确定监督审核的时间间隔和频次。当获证组织合规管理体系发生重大变更，或发生重大问题、服务质量事故、客户投诉等情况时，ICAS认证视情况可增加监督的频次。

On the basis of meeting the accreditation requirements, ICAS has to reasonably design and determine the time interval and frequency of surveillance audits according to the characteristics of the business activities covered by the compliance management system of the certified organization as well as the risks it bears. When the certified organization's compliance management system has undergone major changes, or when major problems, service quality accidents, customer complaints, etc. occur, ICAS may increase the frequency of surveillance, depending on the circumstances.

监督审核的最长时间间隔不超过12个月。由于获证组织业务运作的时间(季节)特点及其内部审核安排等原因，可以合理选取和安排监督周期及时机，在认证证书有效期内的监督审核必须覆盖合规管理体系认证范围内的所有业务活动。

The maximum time interval of surveillance audit shall not exceed 12 months. Due to the certified organization's business operation time (seasonal) characteristics and its internal audit arrangements and other reasons, can be reasonably selected and arranged for the surveillance cycle and timing, in the validity of the certification certificate, surveillance audit must cover all business activities within the scope of the compliance management system certification.

6.6.7.2 监督审核应包括，但不限于以下内容：

6.6.7.2 The surveillance audit shall include, but not be limited to, the following:

(1)体系保持和变化情况；

(1) System maintenance and changes;

(2)顾客投诉情况；

(2) The circumstances of customer complaints;

(3)涉及变更的范围；

(3) Scope of changes involved;

(4)内部审核与管理评审;

(4) Internal audits and management reviews;

(5)服务目录的变化情况;

(5) Changes in the service catalogue;

(6)对上次审核时提出的不符合所采取纠正措施的审查;

(6) Review of corrective measures taken for non-conformities raised during the last audit;

(7)标志的使用和（或）任何其他对认证资格的引用;

(7) Use of the logo and/or any other references to certification qualifications;

(8)适当时，其它选定的范围。

(8) Other selected scopes, as appropriate.

6.6.7.3 监督审核结果评价 Evaluation of surveillance audit results

对于监督审核合格的获证组织,ICAS认证应作出保持其合规管理体系认证资格的决定;否则，应暂停、撤销或注销相应的认证资格。

For a certified organization that passes the surveillance audit, ICAS shall make a decision to maintain its compliance management system certifications qualification; otherwise, the corresponding certification qualification shall be suspended, withdrawn or cancelled.

6.6.7.4 监督审核可能有以下结果，有关条件参见《认证授予、拒绝、保持、变更、暂停、恢复、撤销程序》（ICASP11）。

6.6.7.4 A surveillance audit may have the following results, the conditions for which are described in the Procedure for Granting, Rejecting, Maintaining, Changing, Suspending, Reinstating, and Withdrawing Certification (ICASP11).

- 证书的保持；Maintenance of certificates;
- 证书范围扩大或缩小；Expansion or narrowing of certificate scope;
- 证书暂停或撤销。Certificate suspension or withdrawal.
  - 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；是否发生过重大事故、事件，如发生是如何处理的；对相关方投诉所采取的措施;
  - If the activities covered by the management system involve the provisions of laws and regulations, whether they continuously comply with the relevant provisions; whether major accidents and incidents have occurred, and if so, how they were handled; and the measures

taken in response to the complaints of the interested parties;

- 总目标及各层级目标是否实现。目标没有实现的，获证组织在内部管理评审时是否及时调查并采取了改进措施；
- Whether the overall objectives and objectives at each level are achieved. If the objectives were not achieved, did the certified organization investigate and take improvement measures in a timely manner during the internal management review;
- 证书和标志使用或对认证资格的引用是否符合国家及英格尔相关的规定等。
- Whether the use of certificates and logos or references to certification qualifications are in accordance with the relevant national and ICAS regulations, etc.

6.6.8 再认证 Recertification

6.6.8.1 再认证审核的策划 Planning of recertification audits

ICAS认证应策划和实施再认证审核，以评价获证组织是否持续满足合规管理体系标准和相关的认证规范性文件的所有要求。 ICAS shall plan and conduct recertification audits to evaluate whether the certified organization consistently meets all the requirements of the compliance management system standard and the relevant certification normative documents.

6.6.8.2 审核部负责采取适宜和有效的方法确保再认证每三年进行一次，应在认证证书有效期终止前三个月内进行。The Audit Department is responsible for adopting appropriate and effective methods to ensure that recertification takes place every three years and shall be conducted no more than three months prior to the termination of the validity of the certification certificate.

6.6.8.3 审核部应在再认证前至少三个月，通知市场部。The Audit Department shall notify the Market Department at least three months prior to recertification.

6.6.8.4 市场部接到通知后，通知客户。并为下一个认证周期报价格。 Upon receipt of the notification, the Market Department informs the customer. And quotes prices for the next certification cycle.

6.6.8.5 再认证审核应考虑合规管理体系在认证周期内的绩效，包括调阅以前的监督审核报告。The recertification audit shall consider the performance of the compliance management system during the certification cycle, including review of previous surveillance audit reports.

6.6.8.6 当获证组织、获证组织的合规管理体系或其运作环境有重大变更时，ICAS认证应有程序确保对再认证审核活动可能需要进行的第一阶段审核实施管理。当管理体系及获证组织的内部和外部环境无重大变更时，再认证审核可省略第一阶段审核，但审核时间应不少于初审计算人日数的2/3。When there are significant changes to the certified organization, the certified organization's

compliance management system, or the environment in which it operates, ICAS shall have procedures in place to ensure that the management of the recertification audit activity is managed in such a way that a Phase I audit may be required. When there are no significant changes to the management system and the internal and external environment of the certified organization, the re-certification audit may omit the Phase I audit, but the audit time shall be not less than 2/3 of the number of man-days counted for the initial audit.

6.6.8.7 再认证审核的要求和方法与6.6.3第二阶段审核相同。 Requirements and methods of recertification audit are the same as 6.6.3 Phase II audit.

6.6.8.8 ICAS认证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，作出是否更新认证的决定。 ICAS shall make a decision on whether or not to renew certification based on the results of the recertification audit, as well as the results of the system evaluation during the certification cycle and complaints from certification users.

6.7 认证决定 Certification decisions

6.7.1 原则 Principle

6.7.1.1 实施审核的人员不能作为认证决定人员实施认证决定。

6.7.1.1 The person performing the audit cannot act as the certification decision maker to implement the certification decision.

6.7.1.2 ICAS指定的认证决定人员为ICAS的正式雇员。

6.7.1.2 The certification decision maker designated by ICAS is a regular employee of ICAS.

6.7.1.3 以认证过程中收集的信息和其他相关信息为基础，以充分的证据证实申请组织建立合规管理体系的管理评审和内部审核的方案已经得到有效实施并且将得到保持，才可决定申请组织通过认证。

6.7.1.3 The decision to certify the applicant organization shall be made on the basis of the information collected during the certification process and other relevant information, and on the basis of sufficient evidence to confirm that the programme of management reviews and internal audits for the establishment of the compliance management system of the applicant organization has been effectively implemented and will be maintained.

6.7.2 决定 Decision

6.7.2.1 对于通过认证的申请组织，向其颁发合规管理体系认证证书。

6.7.2.1 The applicant organization shall be issued with a certificate of compliance management system certification if it is certified.

6.7.2.2 对于未通过认证的申请组织，应以书面的形式明示其不能通过认证的原因。

6.7.2.2 If the applicant organization is not certified, the reasons why it is not certified shall be stated in writing.

6.7.2.3 认证决定的流程和管理规定，见《ICASP10 认证决定程序》

6.7.2.3 Certification decision process and management regulations, see "ICASP10 Certification Decision Procedure".

6.8 发放证书Issuance of certificate

当认证决定为予以推荐注册时，依照管理程序文件要求，由注册部负责制作证书，并交由市场部连同认证标识使用规则等相关文件一并邮寄给客户。

When the certification decision is recommended for registration, in accordance with the requirements of the management procedure documents, the registration department is responsible for the production of certificates, and submitted to the market department, together with the rules for the use of the certification mark and other related documents and send them to the customer.

6.9 特殊审核 Special audit

6.9.1 扩大认证范围 Expanding the scope of certification

对于已授予的认证，ICAS认证应对获证组织扩大认证范围的申请进行评审，策划并实施必要的审核活动，并在该审核活动中验证获证组织的合规管理体系的适宜性和有效性，以作出是否可予扩大的决定。扩大认证范围的审核活动可单独进行，也可和对获证组织的监督审核或再认证一起进行。

For accreditations that have been granted, ICAS shall review the application for extension of the scope of certification of the certified organization, plan and carry out the necessary audit activities, and verify the appropriateness and effectiveness of the certified organization’s compliance management system during the audit activities, in order to make a decision on whether or not the extension can be granted. Audit activities for the extension of the scope of certification may be carried out separately or in conjunction with a surveillance audit or re-certification of the certified organization.

6.9.2 ICAS认证为调查投诉、对变更做出回应或对被暂停认证资格的获证组织进行追踪，可能需

要在提前较短时间通知获证组织后对其进行审核。此时：

6.9.2 It may be necessary for ICAS to audit certified organizations with short notice in order to investigate a complaint, respond to a change, or follow up on certified organizations whose certification qualification has been suspended. At this time:

(1)应向获证组织说明并使其提前了解将在何种条件下进行此类审核；

(1) The conditions under which such audits will be conducted shall be explained to and made known to the certified organization in advance;

(2)由于获证组织缺乏对审核组成员的任命表示反对的机会,ICAS认证应在指派审核组时给予更多的关注。

(2) Due to the lack of opportunity for the certified organization to express objections to the appointment of audit team members, ICAS should pay more attention when assigning audit teams.

6.10 暂停、撤销认证或缩小认证范围

6.10 Suspension, withdrawal of certification or narrowing of certification scope

6.10.1 ICAS认证应有暂停、撤销认证或缩小合规管理体系认证范围的政策和形成文件的程序，并规定ICAS认证的后续措施。

6.10.1 ICAS shall have a policy and documented process for suspending, withdrawing certification or narrowing the scope of compliance management system certification, and shall establish follow-up measures for ICAS.

6.10.2 发生以下情况(但不限于)时，ICAS认证应暂停获证组织的合规管理体系认证资格：

6.10.2 ICAS shall suspend the certification qualification of the certified organization’s compliance management system in the event of the following (but not limited to):

(1)获证组织的合规管理体系持续地或严重地不满足认证要求，包括对合规管理体系有效性的要求；

(1) The certified organization’s compliance management system consistently or significantly fails to meet the requirements for certification, including the requirements for the effectiveness of the compliance management system;

(2)获证组织不允许按要求的频次实施监督或再认证审核；

(2) The certified organization is not allowed to implement surveillance or recertification audits at the required frequency;

(3)获证组织不接受或不配合认证认可监督管理部门的监督管理；

(3) The certified organization does not accept or cooperate with the supervision and management department of the certification and accreditation administration;

(4)获证组织主动请求暂停。

(4) The certified organization takes the initiative to request suspension.

6.10.3 认证资格暂停期最长不超过6个月。

6.10.3 Suspension of certification qualification shall not exceed a maximum period of six months.

6.10.4 在暂停认证期间，获证组织的合规管理体系认证证书暂时无效。ICAS认证应做出具有强制实施力的安排，以确保暂停认证期间避免获证组织继续宣传合规管理体系认证资格。ICAS认证应使认证证书的暂停信息可公开获取，并采取其认为适当的任何其他措施。

6.10.4 During the period of suspension, the Compliance Management System Certification Certificate of the Certified Organization shall be temporarily invalidated and ICAS shall put in place enforceable arrangements to ensure that during the period of suspension the Certified Organization is prevented from continuing to advertise the Compliance Management System Certification qualification, ICAS shall make the information about the suspension of the Certification Certificate publicly available, and shall take any other measures it deems appropriate.

6.10.5 如果获证组织未能在ICAS认证规定的时限内解决造成暂停认证的问题，ICAS认证应撤销其合规管理体系认证或缩小其相应的认证范围。

6.10.5 If the certified organisation fails to resolve the issues that caused the suspension within the time limit specified by ICAS, ICAS shall withdraw its Compliance Management System certification or narrow the scope of its certification accordingly.

6.10.6 如果获证组织在认证范围的某些部分持续地或严重地不满足认证要求，ICAS认证应缩小其合规管理体系认证范围，以排除不满足要求的部分。认证范围的缩小应与认证标准的要求一致。

6.10.6 If the certified organization consistently or significantly fails to meet the certification requirements in some parts of the certification scope, ICAS shall narrow the scope of its compliance management system certification to exclude the parts that do not meet the requirements. The narrowing of the

certification scope shall be consistent with the requirements of the certification standard.

6.10.7 ICAS认证应与获证组织就撤销合规管理体系认证时的要求做出具有强制实施力的安排，以确保获证组织接到撤销认证的通知时，立即停止使用任何引用合规管理体系认证资格的广告材料。

6.10.7 ICAS shall make enforceable arrangements with the certified organization regarding the requirements in the event of withdrawal of the compliance management system certification to ensure that the certified organization ceases to use any advertising material referencing the compliance management system certification qualification as soon as the certified organization has been notified of the withdrawal of the certification.

6.10.8 在任何组织提出请求时，ICAS认证应正确说明获证组织的合规管理体系认证被暂停、撤销或缩小的情况。

6.10.8 At the request of any organization, ICAS shall correctly state the circumstances under which the compliance management system certification of the certified organization has been suspended, withdrawn or narrowed.

7. 其他要求 Other requirements

7.1 ICAS在合规管理体系认证领域内，为避免被认为是做咨询或具有潜在的利益冲突，应按下列要求从事相关工作：

7.1 ICAS shall perform work in the field of compliance management system certification in accordance with the following requirements in order to avoid being perceived as consulting or having a potential conflict of interest:

- 安排培训课程并作为讲师参与讲授。如果这些课程涉及合规管理体系或审核，认证机构应仅限于提供可公开获取的通用信息和建议

Arranging training courses and participating as an instructor in conducting the courses. If these courses relate to compliance management systems or auditing, the certification body shall limit themselves to the provision of publicly available generic information and advice

- 根据请求，提供或发布ICAS对认证审核标准要求的解释性信息；

Upon request, provide or publish ICAS interpretive information on the requirements of the certification audit standards;

- 仅以确定认证审核是否就绪为目的的审核前活动，但是这些活动不应导致提供违反本条款的建议和意见

Pre-audit activities for the sole purpose of determining readiness for certification audits, but these activities shall not result in the provision of advice and opinions contrary to this clause

- 根据没有包含在认可范围内的标准或法规，实施第二方或第三方审核

Perform second or third party audits against standards or regulations not included in the scope of accreditation

- 在认证审核和监督访问过程中的增值活动，例如，在审核过程中，当改进机会明显时，识别改进机会但不推荐具体的解决方案。

Value-added activities during certification audits and surveillance visits, e.g. identifying opportunities for improvement but not recommending specific solutions when such opportunities become apparent during the audit process.

- 注意不应为寻求认证的客户的管理体系提供体系管理的内部评审。

Be aware that an internal review of system management should not be provided for the management system of a client seeking certification.

7.2 保密要求Confidentiality requirements

在就认证审核达成一致之前，ICAS应要求客户报告是否存在因包含保密性或敏感性信息而导致不能提供给审核组核查的任何服务管理体系文件或记录。ICAS应确定是否能在缺少这些文件或记录的情况下得到充分审核。如果某些文件或记录对于审核来说是必需的且无法获取到时，ICAS客服服务人员应告知客户只有在适当的访问安排获得许可后才能实施审核。

Prior to agreeing on a certification audit, ICAS shall require the Client to report the existence of any service management system documents or records that cannot be made available to the audit team for verification because they contain confidential or sensitive information. ICAS shall determine whether the audit can be adequately performed in the absence of such documents or records. If certain documents or records are necessary for the audit and are not available, ICAS customer service personnel shall advise the customer that the audit can only be performed after appropriate access arrangements have been authorized.

7.3 沟通与预期加强 communication and consistently reinforcing expection

7.3.1 为达到审核的预期结果，ICAS需要做好内外部沟通，并确保持续沟通的有效性

In order to achieve the desired results of the audit, ICAS needs to communicate well both internally and externally and ensure the effectiveness of ongoing communication

a). 相关认证人员在审核前应进行信息沟通,确保审核活动顺利开展； related certification personnel should communicate information before the audit to ensure that the audit activities are carried out smoothly;

b). 审核过程中，审核组成员间就审核活动进行有效沟通，确保客户的合规管理体系进行有效评审。During the audit process, all members of the audit team communicate effectively about audit activities to ensure that the audit process of CMS is effective

c). 根据客户申请的审核范围及复杂程度，ICAS与客户进行有效沟通，确保达到预期结果：According to the audit scope and complexity of the client, ICAS communicates effectively with the client to ensure that the expected outcomes are achieved

1. 申请阶段的沟通，详见6.1.3 communication at the application stage, see 6.1.3 for details
2. 初次审核过程中的沟通，详见6.4.6；communication during the initial audit, see 6.4.6 for details
3. 首次会议中的沟通，详见6.6.3.1；communication during the open meeting, as detailed in 6.6.3.1
4. 审核中的沟通， 详见6.6.3.2 communication during the audit, see 6.6.3.2
5. 不符合项的沟通，详见6.6.3.4.5 communication of non-conformities as detailed in 6.6.3.4.5
6. 审核完成时的信息沟通，详见6.6.3.6 communication of information at the completion of the audit, as detailed in 6.6.3.6

d) 在整个审核过程中，对客户强调合规义务（如法律法规、监管要求、行业守则、组织标准、良好治理标准，最佳实践、道德规范、社区期望的承诺）的遵守及合规义务的风险评估；各认证人员保持良好沟通及信息的传递，以确保预期成果的达成，并确保审核流程的有效性。

During whole audit process, emphasis to clients on compliance with compliance obligations (e.g. laws, regulations, regulatory requirements, industry codes, organizational standards, good governance standards, commitment to best practices, ethics, community expectations) and risk assessment of compliance obligations. Continually communicating and consistently reinforcing expected outcomes with all certification personnel, and ensures effectiveness of the audit process.

7.3.2 预期结果的达成Achievement of expected outcomes

a). ICAS就合规管理及合规管理体系的知识与技能等，进行持续有效的沟通，以不断增长审核员在各方面的知识更新及增长，方式如继续教育、培训等

ICAS maintains continuous and effective communication on the knowledge and skills of compliance

management and compliance management systems in order to continually update and increase the knowledge of auditors in various areas, such as through continuing education and trainings, etc.

b). 积极的与客户和其他利益相关方保持持续沟通，以确保客户在各个阶段的预期结果的达成。

Proactively maintain ongoing communication with clients and other stakeholders to ensure that the client's expectations are met at all stages.

8. **合规管理体系文件与其他管理体系文件的整合** Integration of compliance management system documentation with other management system documentation

只要合规管理体系以及与其他管理体系的适当接口能够清楚地被识别，可以允许申请组织将合规管理体系文件与其他管理体系文件(例如，质量管理体系、环境管理体系，职业健康安全管理体系等)相结合。

The applicant organization may be allowed to integrate the compliance management system documentation with other management system documentation (e.g. quality management system, environmental management system, occupational health and safety management system, etc.) as long as the compliance management system and appropriate interfaces with other management systems can be clearly identified.

9. 管理体系结合审核 Management System Combined Audits

9.1 ICAS认证可以仅提供合规管理体系认证服务，或结合合规管理体系认证提供其他管理体系认证服务。ICAS认证应有程序确保在结合审核的情形下，对诸如审核范围的界定、审核时间的确定、审核方案的策划等进行有效的管理。

9.1 ICAS may provide compliance management system certification services only or other management system certification services in conjunction with compliance management system certification, and ICAS shall have procedures to ensure that in the case of combined audits, such things as the definition of the scope of the audit, the timing of the audit, and the planning of the audit programme are effectively managed.

9.2 可以把合规管理体系的审核和其他管理体系的审核相结合，但是这种结合必须以审核活动满足合规管理体系认证所有要求为前提，并且审核的质量不应由于结合审核而受到负面影响。在审核报告中，应清晰体现所有与合规管理体系有关的重要要素的描述并易于识别。

9.2 It is possible to combine the audit of an compliance management system with the audit of other management systems, but this combination must be based on the premise that the audit activity meets all the requirements for certification of the compliance management system and that the quality of the audit shall not be adversely affected by the combined audit. In the audit report, all important elements related to the compliance management system shall be clearly described and easily identifiable.

10. 审核档案及客户记录 Audit Files and Customer Records

10.1 审核组成员必须将审核形成记录，在审核结束时交审核组长;

10.1 Audit team members must form a record of the audit and hand it over to the audit team leader at the end of the audit;

10.2 审核组长负责检查所有审核记录的完整性，妥善保管于审核档案中，并应安排在审核结束后的2个工作日内交公司档案管理人员。

10.2 The audit team leader is responsible for checking the completeness of all audit records, properly stored in the audit file, and should be arranged to hand over to the company's archivist within 2 working days after the end of the audit.

10.3 获证客户记录应包括： The certified customer records shall include:

1) 申请资料及初次认证、监督和再认证的审核报告;

1) Application information and audit reports for initial certification, surveillance and recertification;

2) 认证协议;

2)Certification agreement;

3) 抽样方法的理由;

3) Rationale for sampling method;

4) 确定审核时间的理由;

4) Rationale for determining the audit time;

5) 纠正与纠正措施的验证;

5) Verification of corrections and corrective actions;

6) 投诉和申诉及任何后续纠正或纠正措施的记录;

6)Records of complaints and appeals and any subsequent corrections or corrective measures;

7) 适用时，委员会的审议和决定;

7) When applicable, the deliberations and decisions of the Committee;

8) 认证决定的文件；

8) documentation of the certification decision;

9) 认证文件，包括与产品（包括服务）、过程相关的认证范围，管理绩效统计情况，适用时，包括每个场所相应的认证范围；

9) documentation of the certification, including the scope of certification related to products (including services), processes, management performance statistics and, where applicable, the corresponding scope of certification for each site;

10) 建立认证的可信度所需的相关记录，如审核员和技术专家能力的证据。

10) Relevant records required to establish the credibility of the certification, such as evidence of auditor and technical expert competence.

认证协议由市场部负责保管，认证可信度所需的相关记录由技术资源管理部负责保管，其余的客户记录由注册部负责保管并扫描成电子档放置公司服务器上。

The certification agreement is kept by the Market Department, the relevant records required to certify credibility are kept by the Technical Resource Management Department, and the rest of the customer records are kept by the Registration Department and scanned into an electronic file to be placed on the company's server.

10.4 档案管理人员根据程序《记录控制程序》（ICASP05）对记录进行控制。

10.4 Records are controlled by the archivist in accordance with the procedure Records Control Procedure (ICASP05).

11. 保密 Confidentiality

11.1 如果客户事先没有禁止ICAS的认证人员接触某一信息，或未告知ICAS应满足的要求，但在认证过程中发现审核组或其他认证人员并不具备接触该信息的资格和条件时，应立即向客户提出。

11.1 If the client does not prohibit ICAS personnel from accessing a particular piece of information in advance, or does not inform ICAS of the requirements that should be fulfilled, but during the certification process it is found that the audit team or other certification personnel do not have the qualifications and conditions for accessing the information, this should be made known to the client immediately.

11.2 直接接触客户信息的认证人员，包括审核组成员，应遵守客户的保密政策；例如在审核开始

前与客户签署保密协议，保密协议可遵从ICAS的格式文件，或按客户要求签署均可。

11.2 Certification personnel, including audit team members, who have direct access to client information shall comply with the client's confidentiality policy; for example, by signing a confidentiality agreement with the client prior to the commencement of the audit, which may be in the form of an ICAS form document, or at the request of the client.

11.3 审核组成员不宜在审核过程中以任何方式记录客户的保密或敏感信息。审核组在离开客户前，宜请客户检查和确认审核组携带的文件、资料和设备中未夹带客户的任何保密或敏感信息。

11.3 It is not appropriate for members of the audit team to record the Client's confidential or sensitive information in any way during the audit. Before the audit team leaves the Client, it is appropriate to ask the Client to check and confirm that the documents, materials and equipment carried by the audit team do not contain any confidential or sensitive information of the Client.

12. 纠正措施 Corrective measures

在日常运作中发现的不符合，由管理者代表责成相关部门负责人在规定的期限内进行纠正，并由管理者代表负责验证纠正措施的有效性。

If non-conformity is found in daily operation, the management representative will instruct the relevant department head to correct it within a specified period of time, and the management representative will be responsible for verifying the effectiveness of the corrective measures.

13. 相关程序/规范性引用文件 Related Procedures / Normative references

1.《认证授予、拒绝、保持、变更、暂停、恢复、撤销程序》（ICASP11）Procedures for Granting, Rejecting, Maintaining, Changing, Suspending, Reinstating, and Withdrawing Certification (ICASP11)
2.《记录控制程序》（ICASP05）Records Control Procedure (ICASP05)
3.《申诉、投诉、争议处理程序》（ICASP06）Procedures for Handling Appeals, Complaints, Disputes (ICASP06)
4. ACCREDITATION RULE 57--《Accreditation Program for Compliance Management Systems (CMS)-- ISO 37301 CMS ANAB-Accredited and Applicant Certification Bodies》（ANAB）

14. 相关记录 Related Records

执行本文件应产生下列记录：

Implementation of this document shall generate the following records:

a) 申请表（MFP0388）Application Form (MFP0388)

b) 报价单（MFP0306） Quotation (MFP0306)

c) 认证合同（MAP0312）Certification Contract (MAP0312)

d) 合同评审表（MFP0363）Contract Review Form (MFP0363)

e) 审核组派遣通知书（MFP0308）Audit Team Dispatch Notice (MFP0308)

f) 审核计划（MFP0311）Audit Plan (MFP0311)

g) 签到表（MFP0312）Sign-in sheet (MFP0312)

h)首次会议查检表（MFP0313） Opening Meeting Checklist (MFP0313)

i) 不符合项报告（MFP0314）Non-conformity report (MFP0314)

j) 管理体系文审、一阶段审核结论及问题清单（MFP0373）

Management System Documentation Review, Phase I Audit Conclusion and List of Issues (MFP0373)

k)审核报告（MFP0315）Audit report (MFP0315)

l) 末次会议查检表（MFP0316）Closing meeting checklist (MFP0316)

m) 客户信息确认表（MFP0318） Customer Information Confirmation Form (MFP0318)

n) 审核记录表（MFP0309）Audit Record Form (MFP0309)

o) ICAS审核方案 （MFP5794C） ICAS Audit Programme (MFP5794C)