

# 管理体系认证流程

## General Procedure for Management Systems Certification

### 1 认证申请 Application of Certification

**1.1** 管理体系申请方应向新世纪检验认证有限责任公司（以下简称 BCC）提交一份正式的由法定代表人或其授权代表签署的申请书，包括申请组织的生产经营或服务活动等情况的说明。申请书及附件应包括的内容详见附录。 Clients applying for management system certification shall submit a formal application signed by the legal representative or the authorized representative to BCC Inc., including the description of the production organization or service activities of the applicant organization. Please refer to the appendix for details of the application and attachments.

**1.2** BCC 向申请人提供有关公开文件。BCC shall provide the public accessible documents to the applicant;

**1.3** 申请组织同意遵守认证要求，提供审核所需必要信息的规定或承诺，在有要求时，接受 CNAS 的见证评审及确认审核，并提供必要支持。The applicant organization commits: to comply with the certification requirements and provide the necessary information for audit; and to accept the on-site witnessed certification audit arranged by CNAS, and the related accreditation body, and to provide necessary co-operation during the process of witnessed certification audit;

**1.4** BCC 在收到申请组织申请材料，经合同评审后，在 30 天(食品安全管理体系 15 个工作日/HACCP10 个工作日内)内做出受理、不受理或改进后受理的决定，并通知委托方（受审核方）。BCC will decide whether to accept, not to accept the application, or to accept after improvement within the 30 work days (for FSMS contract, the duration will be 15 work days. For HACCP contract, the duration will be 10 work days) after the contract review upon the application received, and notify the audit client (auditee);

**1.5** 双方签订《管理体系认证合同》。Both parties will sign the “Management system certification contract”.

**1.6** 对收到的信息将用于现场审核评定的准备。The information received will be used in the preparation for the on-site audit.

### 2 现场审核前的准备 Preparation for the On-site Audit

#### 2.1 受审核方进行审核准备 The preparation of the auditee for the audit

在现场审核前，申请组织（受审核方）按拟申请认证的标准建立的管理体系，其运行时间在现场审核前至少应达到 3 个月以上（对于能源管理体系或生产植入性医疗器械产品的申请组织的医疗器械质量管理体系，体系运行时间至少 6 个月以上），并至少进行了一次内部管理体系审核和管理评审，环境、职业健康安全、食品安全管理体系和 HACCP 体系已实施了法律、法规符合性评价。对于食品安全管理体系和 HACCP 体系的组织，当存在多场所时，应在认证前一年内对每一场所都进行了内部审核。The applicant organization (auditee) shall establish a documentary management system in quality, environment, occupational health and safety, food safety in accordance with the standard applied for before the on-site audit. The operation duration shall be up to 3 months (For energy management system or implantable medical device products apply for organization of medical device quality management system, the system running time at least 6 months or more) and at least one internal audit and management review shall be conducted. For EMS, OHSMS and FSMS, and HACCP, the evaluation of compliance to the laws and regulations shall have been conducted. For FSMS and HACCP, when there are more than one site, there shall be internal audit for every site within one year before the certification.

## 2.2BCC 进行审核准备： The preparation of BCC for the audit

**2.2.1**审核组长负责进行管理体系文件审查,考虑申请组织（受审核方）的一体化程度，对审查中的问题以书面形式通知申请组织（受审核方）修订完善体系文件。The team leader is responsible for the document review of the management system. He/she will notify the applicant organization (auditee) in written to revise and improve the management system documents.

**2.2.2**BCC 与申请组织（受审核方）协商确定审核日期，发出审核项目发送通知书，由受审核方确认审核组织成员、审核日程安排等，如对审核计划内容及审核组成员有异议，可以向 BCC 提出并协商解决。BCC will communicate with the applicant organization (the auditee) to determine the audit date, and send the Notification of the Audit Program Arrangement to the auditee for whom to confirm the members of the audit team, the audit time schedule and arrangement. If the auditee may require the relevant Certification Division to negotiate and resolve any disagreement raised on the contents of arrangement and the team members.

**2.2.3**组成具有专业能力的审核组,由审核组长编制审核计划并进行审核准备及实施现场审核。审核计划应提前通知申请组织(受审核方)进行确认。BCC will establish a competent audit team. The team leader will prepare the audit plan and make preparation for the audit and conduct the on-site audit. The audit plan shall be sent to the applicant organization (auditee) in advance for confirmation.

**2.2.4**必要时由审核组长决定是否需要对申请组织（受审核方）进行一次初访问。The team leader may decide whether to conduct a pre-visit to the applicant organization (auditee) if necessary.

**2.2.5**根据申请组织(受审核方)申请, BCC 可安排一次管理体系预审核, 但应符合下列规定: BCC may arrange a pre-audit on the management system upon the request of the applicant organization (auditee), in accordance with the following:

**2.2.5.1**对同一认证申请组织的预审核只能进行一次； The pre-audit to the same applicant organization may be conducted only once;

**2.2.5.2**预审核的现场审核人日数不得超过正式审核人日数的 50%； The many-days of the pre-audit shall not exceed 50% of that of the formal audit;

**2.2.5.3**不能因为预审核而减少正式审核人日数。The formal audit man-days shall not be reduced because of the pre-audit conducted.

**2.2.6**初次审核一般分为两个阶段进行。The initial audit shall be conducted in two stages.

**2.3**当有见证或相关主管部门等要求需安排观察员参与审核时， BCC 应提前将相应信息告知审核方，申请方应予以配合，接纳观察员并提供相应的条件。BCC shall notify the auditee in advance of the relevant information if an observer needs to be arranged in a witnessed audit or with the requirement of the related governing department. The applicant shall co-operate to accept the observer and provide the relevant condition.

## 3现场审核 On-site Audit:

审核组依据受审核方选定的认证标准，在合同确定的产品范围内审核受审核方的管理体系,主要程序为:The audit team will conduct the audit on the auditee's management system of the product scope specified in the contract in accordance with the certification criteria appointed by the auditee; The main procedure is as follows:

### 3.1召开首次会议 Holding the Opening Meeting

首次会议通常由审核组长主持，受审核方的最高管理者、接受审核的部门负责人、审核组成员和陪同人员参加首次会议。首次会议主要介绍审核组成员及分工，说明审核目的、依据文件和审核范围、审核方式、程序、确认审核计划、有关审核可能被终止的条件的信息和各项安排以及需要澄清的问题。如申请组织要求时，审

核组成员应向申请组织出示身份证明文件（身份证）。The opening meeting is usually presided over by the audit team leader. The top management of the auditee, the person in charge of the department undergoing the audit, the audit team members and accompanying persons attend the opening meeting. The team leader will introduce the team member and the work division, and will state the audit objectives, the documents based on, the audit scope, audit method, procedure, any condition that may lead to the termination of the audit, all the arrangements and the matters that should be clarified. The audit plan will be confirmed in the opening meeting. If required by the applicant organization, the members of the review team shall present their identity documents (identity card) to the applicant organization.

### 3.2实施现场审核 Conducting the On-site Audit

**3.2.1**对于 QMS，审核组应通过面对面访谈等形式，对受审核方的最高管理者在管理体系中发挥领导作用的情况进行重点审核，并保留现场图片/音像、审核记录等证明材料。最高管理者不熟悉组织自身的方针、目标，未亲自参与并推动管理体系实施的，认证审核应不予通过。For QMS, the audit team shall focus on auditing the top management of the auditee's leadership role in the management system through face-to-face interviews and other forms, and retain supporting documents such as on-site pictures/audio-visual materials and audit records. If the top management is not familiar with the organization's own policies and objectives, or fails to personally participate in and promote the implementation of the management system, the certification audit shall not be passed.

**3.2.2**收集客观证据评定申请组织（受审核方）管理体系的符合性、适宜性及有效性，对不符合项写出不符合报告单。在现场审核中审核组可以提出改进的方向，而不应提出具体的解决方案。The audit team will collect the objective evidence to evaluate the conformity, suitability and effectiveness of the management system of the applicant organization (auditee) and prepare the List of Nonconformities. The audit team may propose the direction of the improvement in the on-site audit but the specific resolution program shall not be proposed.

**3.2.3**BCC 应确认获证组织已对法律法规要求的符合性做出了评价并在不符合相关法律法规要求时采取了纠正措施，以确认组织在此方面运行的符合性。BCC shall confirm that the applicant organization (auditee) has completed an evaluation on the compliance evaluation to the laws and regulations and has taken corrective actions to the nonconformities in order to confirm the conformity of the operation by the applicant organization.

**3.2.4**初次审核时，一阶段审核期间，审核组就 IMS（一体化管理体系）的一体化程度进行确认。必要时将基于申请阶段所获取的信息而确定的审核时间进行评审和调整。During the first audit, the audit team will confirm the degree of integration of IMS (Integrated Management System). When necessary, the review time determined based on the information obtained during the application phase will be reviewed and adjusted.

**3.2.5**初次审核时，一阶段审核发现不符合，组织应进行整改，当整改完成后方可进行二阶段现场审核。如果一阶段审核证据表明不能按照预先策划的二阶段审核时间进行时，组织应先进行整改，整改完成后再重新确定二阶段审核时间。During the initial audit, if non-conformities are found in the first stage of the audit, the organization shall carry out rectification, and the second stage on-site audit can only be carried out after the rectification is completed. If the first-stage audit evidence shows that it cannot be carried out in accordance with the pre-planned second-stage audit time, the organization shall first carry out rectification and re-determine the second-stage audit time after the rectification is completed

**3.3**审核组进行内部评定，对不符合项做出属于严重或轻微的评定，对管理体系的符合性、适宜性和有效性做出全面评价。The audit team will conduct internal review. The conclusion of minor nonconformity or major nonconformity will be made. The audit team will make a full evaluation on the conformity, suitability and effectiveness of the management.

**3.4**对不符合项类型评价的原则是:The evaluation principles of the nonconformity types:

**3.4.1**严重不符合项主要指:管理体系与约定的管理体系标准或文件的要求不符； 造成系统性、区域性严重失

效的不符合或可造成严重后果的不符合。The major nonconformities mainly include the following: The management system does not conform to the management system standard or the requirements documents. The nonconformity leads to systematic and regional defect or serious invalidation, or the nonconformity leads to the serious result.

**3.4.2**轻微不符合项主要指:孤立的人为错误,文件偶尔未被遵守,造成的后果不严重,对系统不会产生重要影响的不符合等。The minor conformities mainly include: Occasional mistakes; none compliance with the documents occasionally without serious results; nonconformities without serious impact on the systems.

**3.4.3**社会责任管理体系 (SA8000) 还有关键不符合和期限不符合。前者指严重违反 SA8000 标准,将导致人权、生命安全和/或对 SA8000、SAI 或 SAAS 名誉的严重影响,包括违反道德标准,直接威胁工人生命,严重和故意侵犯人权。后者是当申请组织 (受审何方) 满足当地法律要求但不满足 SA8000 标准的更高要求的情况(反之亦然),包括为员工发放的工资为社会最低标准而非生活工资、工作时间和/加班时间超过 SA8000 要求或当地法规允许的最长时间。SA8000 certification audits also involve Critical Non-Conformities and Time-Bound Non-Conformities. Critical Non-Conformities refer to serious violations of the SA8000 standard that could lead to severe impacts on human rights, life safety, and/or the reputation of SA8000, SAI, or SAAS. This includes breaches of ethical standards; direct threats to workers' lives; and severe or deliberate human rights violations. Time-Bound Non-Conformities occur when an applicant organization (the audited entity) meets local legal requirements but fails to meet the higher standards set by SA8000 (or vice versa). Examples include paying employees only the statutory minimum wage instead of a living wage, or exceeding maximum working hours and/or overtime limits specified in either SA8000 requirements or local regulations.

**3.5**审核组编写审核报告做出审核结论,其审核结论有四种情况:The audit team will prepare the audit report with the conclusion made. The audit conclusion will be four types:

**3.5.1**建立并实施的管理体系符合标准要求,同意推荐认证注册; The established and implemented management system has conformed to the standard requirements, and the audit team agrees to recommend to registration.

**3.5.2**建立并实施的管理体系基本符合标准要求,存在部分轻微不符合,纠正、纠正措施/计划经验证合格后,同意推荐认证注册; The established and implemented management system basically meets the requirements of the standard, and there are some minor non-conformities. After the corrective and corrective measures/plans are verified as qualified. The recommend to registration will be postponed.

**3.5.3**建立并实施的管理体系存在严重不符合项,短期内(限期三个月)可采取纠正措施,暂缓推荐认证注册; to establish and implement the management system, there are serious nonconformity in the short term (within three months) can take corrective measures, suspend recommend certification registration;

**3.5.4**建立并实施的管理体系不符合标准要求,短期内不能采取纠正措施解决,不同意推荐认证注册。The management system established and implemented does not meet the requirements of the standard, and corrective measures cannot be taken to address the issues in the short term. Therefore, the recommendation for certification and registration is not approved.

**3.6**向受审核方领导通报审核情况,确认不符合项,听取意见后确定审核结论。The audit team will report the audit status to the leader of the auditee, confirm the nonconformities and make the audit conclusion considering the opinion of the auditee.

**3.7**末次会议通常由审核组长主持,参加会议人员一般同首次会议,受审核方的最高管理者、接受审核的部门负责人、审核组成员和陪同人员参加末次会议,也可包括审核委托方和其他方。对于 OHSMS 审核,负有 OH&S 法律责任的管理者、负责监视员工健康的人员、OH&S 员工代表也应参加末次会议。召开末次会议,主要说明审核情况,宣读审核报告和审核结论,介绍现场审核结论是审核推荐性的结论,并明确对不符合项采取纠正措施的时限要求和验证方式。其验证方式为: The final meeting is usually presided over by the audit

team leader. The participants in the meeting are generally the same as the opening meeting. The top management of the auditee, the person in charge of the audited department, the audit team members and escorts attend the final meeting, and may also include the audit client and other parties. The team leader will hold the closing meeting to introduce the audit status announce the audit report and audit conclusion and to illustrate that the on-site audit conclusion is a recommended conclusion. The requirements and deadline of the corrective actions, the devices of verification will be indicated as well. The types of the verification include the following: For OHSMS audits, managers with OH&S legal responsibilities, personnel responsible for monitoring employees' health, and OH&S employee representatives shall also attend the closing meeting.

**3.7.1**对纠正措施实施结果以书面见证材料验证； Document verification will be used to verify the results of corrective actions;

**3.7.2**对纠正措施实施结果派审核组成员到受审核方现场验证； The member of the audit team will be assigned to verify the results of the corrective actions at the premises of the auditee;

**3.7.3**对纠正措施结果需经历一段时间才能显示其有效性时，可结合下次监督审核时验证。The verification will be conducted with the surveillance audit if the effectiveness of the corrective actions will only reveal after a long term.

#### 4审核的终止 Termination of the Audit

发生以下情况时，应终止审核： When the following circumstances occur, the audit shall be terminated:

(1)申请组织对审核活动不予配合，审核活动无法进行。The client fails to cooperate to audit activities, and the audit activities cannot be continued.

(2)申请组织的管理体系有重大缺陷，不符合体系标准的要求。The client's management system has serious defect, which does not meet the requirements of standard.

(3)发现申请组织存在重大安全问题或其他严重违法违规行为（包括故意或持续的不符合法律法规要求）。The client has significant safety issues or other serious violations of laws and regulations, which include deliberate or consistent non-compliance with the legal and regulatory requirements.

(4)受审核方的最高管理者或经授权的高级管理层成员缺席首、末次会议； The top management of the auditee or the authorized senior management member is absent from the opening and closing meetings;

(5)受审核方的实际情况与申请材料有重大不一致；重大不一致，是受审核方实际情况（如受审核方的组织机构、场所、活动、认证范围内人员数量、产品和服务类型、管理体系运行时间等）与申请材料不一致，对审核方案有重大影响，导致审核组无法按原来的策划开展审核活动。There is a major inconsistency between the actual situation of the auditee and the application materials; major inconsistencies refer to the inconsistency between the actual situation of the auditee (such as the auditee's organizational structure, locations, activities, the number of personnel within the certification scope, types of products and services, the operation time of the management system, etc.) and the application materials, which has a significant impact on the audit plan and results in the audit team being unable to carry out the audit activities as originally planned.

(6)第一阶段审核发现相关申请信息和文件资料存在虚假情况的，应终止认证活动。If it is found that there is false information in the relevant application information and documents and materials in Stage 1 audit, the certification activity shall be terminated.

(7)其他导致审核程序无法完成的情况。Any other case leads to the audit process cannot be completed.

#### 5认证批准 The Approval of the Certification

**5.1认证批准的条件 Condition of the Approval of the Certification**

**5.1.1**管理体系符合所申请的标准要求,包括适宜的删减(指质量管理体系); The management system conforms to the requirements of the standard applied for, including the appropriate exclusion (for QMS only);

**5.1.2**组织的管理体系得到有效实施,符合标准/认证依据的要求; Effective implementation of the client's management system, which conforms to the requirements of the standard/certification criteria;

**5.1.3**方针、目标已为员工理解和实施,意识有所提高; The policies and objectives have been understood and implemented by the staff. The consciousness of the staff has been improved;

**5.1.4**产品/服务质量符合相关法规、标准和用户要求,用户满意; The quality of product/service conforms to the relative requirements of standards, regulations and customers are satisfied;

**5.1.5**通过内审和管理评审和其它渠道信息的沟通,采取纠正和预防措施,改进管理体系使体系具有实现质量目标的能力; Through internal audit, management review, and the communication of information from other channels, corrective measures have been taken to improve the management system so that the system has the capability to achieve the quality objectives.

**5.1.6**内部质量审核、管理评审已实施,能发现体系存在的问题,建立了体系有效运行和自我完善的机制; 4.1.6Internal audit and management review have been implemented. The auditee is competent to find out the problems of its system. The mechanism of self-improvement and effective operation has been established;

**5.1.7**组织能遵守相关法律、法规、标准的要求,各相关方满意; The organization has complied with the requirements of relative laws, regulations and conformed to the standards. Each interested party is satisfied;

**5.1.8**经审查、审定未发生影响批准认证的其他事宜(如资质证书齐全、无顾客投诉、上级主管部门的质量/环境/安全抽查未发生不合格、无重大事故等); Upon approval of the examination, not in the authentication of other matters (such as qualification certificate is complete, no customer complaints, qualified in the supervision check of quality/environment/safety administration departments, no serious accidents)

**5.1.9**对纠正措施没有进行验证或有效验证之前,不能批准认证资格。The certification qualification will not be granted before the verification completed or the verification proved to be valid.

**5.1.10**如果初次二阶段审核结束后6个月内不能对严重不符合的纠正及纠正措施进行有效验证,则应在推荐认证前再实施一次二阶段审核。If it is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, another stage 2 shall be conducted prior to recommending certification.

**5.1.11**对于社会责任管理体系(SA 8000)的获证组织,一、二阶段审核间隔不得超过6个月,如超过6个月,则应重新进行一次一阶段审核。监督审核的安排是: i) 单场所认证组织,第一次监督审核应自初次认证或再认证决定6个月内进行,之后为一年一次现场监督审核。其中两次现场监督审核之间有一次文审。ii) 多场所认证组织,应每6个月进行一次监督审核,第一次监督审核应自初次认证或再认证决定6个月内进行。同时,每年至少一次监督审核应在组织活动的旺季或高峰。当获证组织发生投诉、重大变更或严重不符合时,有可能需要额外增加现场审核。再认证审核应自初次或再认证决定30个月内进行。For SA8000 certified organizations or applicants, the interval between stage 1 and stage 2 audit shall not exceed six months. If this interval is exceeded, a new Stage 1 audit must be conducted. The scheduling of surveillance audits is as follows: i) For single-site certified organizations: The first surveillance audit shall be conducted within 6 months of the initial certification or recertification decision, followed by annual on-site surveillance audits. Between two consecutive on-site surveillance audits, there shall be one review based on documentation (desktop review). ii) For multi-site certified organizations: Surveillance audits shall be conducted every 6 months. The first surveillance audit shall take place within 6 months of the initial certification or recertification decision. Additionally, at least one surveillance

audit per year should occur during the organization's peak season or period of high activity. When a certified organization has complaints filed against it, undergoes significant changes, or has serious non-conformities, additional on-site audits may be required. A recertification audit shall be conducted within 30 months of the initial or previous recertification decision.

**5.2**申请组织(受审核方)不符合项经审核组验证合格关闭后, BCC 各事业部对审核结论进行认证决定评定, 认证决定由未参加该项审核过程的人员做出。After the non-conformance items of the applicant organization (audited party) are verified and closed by the audit team, the business divisions of BCC will conduct certification decision evaluation on the audit conclusions. The persons that make the certification decisions shall be different from those who carried out the audits.

**5.3**按合同约定缴齐认证费用后, 方可批准认证注册。The certification registration will only be approved after the certification fees regulated in the contract has been collected.

**5.4**总经理/授权人批准认证决定, 总经理签发认证证书。The General Manager/authorized person will approve the certification decision. The certificate will be issued by the General Manager.

**5.5**BCC 各事业部负责认证合格后注册登记, 颁发认证证书, 并在 BCC 的网站上公布管理体系认证注册单位名录。Each business department of BCC is responsible for registration after passing the certification, issuing certification certificates, and in the BCC website management system certification registration unit list.

**5.6**认证公告的内容包括: 获证组织名称、注册号、认证标准、认证范围、地理位置(多场所认证范围内总部和所有场所的地理位置)、证书有效期等内容。The contents of the Announcement include: name, registration number, certification standard, certification scope, geographic location (geographic location of all the sites and headquarter in the multi-site certification), the validity of the certificate.

**5.7**对不能批准认证的单位, 经总经理批准签发不合格通知书, 说明未能通过的理由, 企业再次提出申请, 至少需经 6 个月后才能受理。For units that cannot be approved for certification. The General Manager will issue the Notification of Disapproval of Registration to indicate the reason of unqualified. After 6 months the applicant organization can re-apply for certification.

## 6 认证证书的转换 The Transfer of Certification

**6.1**当前有效的已认可的管理体系认证证书的转换 Currently valid and accredited management system certification certificate transfer to BCC

**6.1.1**BCC 承认其他已认可的认证机构颁发的现行有效的管理体系认证证书, 并遵循非歧视性原则受理申请人(已获证组织)申请转换成 BCC 颁发的认证证书。BCC will recognize the current valid management certificate issued by the accredited CB. BCC conforms to the non-discrimination principle to accept the transfer application of the applicant (certified auditee) and issue the certificate.

### 6.1.2 转换的条件 Transfer Conditions

(1)只有国际认可论坛 (IAF) 或区域性多边互认协议 (MLA) 签约机构在互认结构第 3 级 (适用时, 包括互认结构第 4 级、第 5 级) 所认可的证书才有资格进行转换。IAF MLA 互认结构层级划分可参见 IAF PR4 Structure of the IAF MLA and List of IAF Endorsed。目前该互认结构层级文件涉及的管理体系认证领域及标准包括: ISO9001、ISO14001、ISO45001、ISO/IEC 27001、ISO 22000、ISO 13485。同时应注意拟转换的认证证书的原颁证机构的这一被认可范围在认可机构的 MLA 范围之内。Only the certification covered by an accreditation of an International Accreditation Forum (IAF) or Regional Multilateral Recognition Agreement (MLA) signatory at level 3 (and level 4, 5 if applicable) shall be eligible for transfer. At present in this document, the management systems and standards which are eligible for transfer include ISO9001, ISO14001, ISO4500, ISO/IEC 27001, ISO22000, ISO13485. And please mind to confirm that the issuing certification body's accreditation scope

falls within its accreditation scope on body's MLA scope.

(2)原颁证机构颁发的 CNAS 认可的其他管理体系认证证书,且 BCC 具备相应领域认可资格的可以转换为带 CNAS 认可标志的认证证书; ANAB 认可的其他管理体系认证证书,且 BCC 具备相应认可资格的可以转换为带 ANAB 认可标志的认证证书;原颁证机构颁发的 UKAS 认可的其他管理体系认证证书,且 BCC 具备相应领域认可资格的可以转换为带 UKAS 认可标志的认证证书。The accredited certificate in other management system issued by a certification body accredited by CNAS with the certification scope within the BCC's accreditation field can be transferred to a certificate issued by BCC with CNAS mark. The certificate in other management system issued a certification body accredited by ANAB with the certification scope within the BCC's accreditation field can be transferred to a certificate issued by BCC within ANAB mark. The conversion of UKAS accredited certificate issued is similar to this requirement.

(3)转换仅限于现行有效的经认可的认证证书。Only the current valid certificate can be transferred.

(4)原认证机构认证业务正常运行,不存在认可资格到期、被暂停或撤销的问题; The original certification body's certification business operates normally, with no issues such as the expiration, suspension or withdrawn of its accreditation qualification;

**6.1.3** 认证转换申请人需提交以下资料并说明转换理由:When transfer to BCC, the applicant for certification transfer shall submit the following information and explain the reasons for transfer:

(1)已认可的认证证书。 The accredited certificate

(2)法律地位文件:营业执照,必要的资质证书,生产许可证等。Documents of its legal status: Business License of legal body of enterprise, qualifications, production license etc., if necessary;

(3)方针、目标和范围等相关管理体系文件化信息。Policy, objectives and scope and other relevant documented information required by each standard;

(4)初次认证审核或最近的再认证审核报告及后续的监督审核报告和不符合项报告及所采取纠正措施关闭情况的证实性资料。The initial certification audit or most recent re-certification audit report, and the subsequent surveillance audit reports, lists of nonconformities and the evidences of the corrective actions;

#### **6.1.4** CCAA 转换机构备案 CCAA transfer filling

经 BCC 初步确认后,在 CCAA 自律监管平台进行备案, CCAA 批准后开始正式实施评审。After preliminary review by BCC, the transfer application shall be file on the CCAA Self-Regulatory Platform. The formal review process will be conducted after the approval by CCAA.

#### **6.1.5** 转换前的评审 Pre-transfer review

(1)转换前的评审包括文件审查以及文件审查后确定所需进一步采取的措施(例如:现场访问)。The pre-transfer review includes documentation review and the necessary further measures considered after the documentation review (e.g. on-site visit).

(2)文件审查应至少覆盖以下内容:

- a)** 获证组织的产品/服务是否在 BCC 已认可的业务范围内。whether the product/service of certified organization is within the accreditation business scope of BCC;
- b)** 拟转换的认证证书的原颁证机构的这一被认可范围在认可机构的 MLA 范围之内。the issuing certification body's accreditation scope falls within its accreditation scope on body's MLA scope;
- c)** 要求转换的原因。reason of certification transfer application;
- d)** 拟转换认证的场所(或多个场所)所持有的经认可的认证证书是否真实、有效且认证覆盖的活动范

围有效。whether the accredited certificate with the site (or multiple sites) requiring transfer is true and effective and the activities of the site is valid;

- e) 初次认证审核或最近的再认证审核报告及后续的监督审核报告和不符合项报告以及采取纠正措施关闭情况的证实性资料。The initial certification audit or most recent re-certification audit report, and the subsequent surveillance audits reports, lists of nonconformities and the evidences of the corrective actions.
- f) 收到的投诉及采取的措施。the complains and the actions taken;
- g) 对原颁证机构制定的审核方案进行评审。to review the former audit program established by the origin issuing CB
- h) 目前组织在合规性方面与监管部门的任何承诺或约定。any promise or agreement by the organization with the supervision departments on compliance with the regulations;

#### 6.1.6 文件审查后的措施 Actions will be taken after the documentation review

(1)如果转换前的文件审查没有发现尚未关闭的不符合或潜在的问题，即可颁发认证证书，此后的监督和/或再认证方案宜基于以前的认证方案。If not any unclosed nonconformities or potential issues are indentified by the pre-transfer document review, the certification certificate may be issued, and the subsequent surveillance and/or recertification program should be based on the previous certification program.

(2)如果通过文件审查发现存在尚未解决的严重不符合时，应安排对拟转换客户进行一次转换前的现场访问，确认严重不符合的纠正和纠正措施已得到有效实施，客户的管理体系正常、有效运行。现场访问的时间不应少于0.5人日，一般不超过1个人日。If the unresolved serious nonconformity is found through the document review, it is necessary to arrange a field visit to the converted customer before a conversion, to confirm that the corrective and corrective measures of serious nonconformity have been effectively implemented, and the management system of the client is normal and effective. The on-site visit time shall not be less than 0.5 auditor day, generally not will be more than 1 auditor day.

#### 6.1.7 不同意转换的情况 Situations for disagreed to transfer

如果 BCC 在进行转换前的评审和/或现场访问后，对申请人持有的认证证书的充分性仍存在疑问，则不应做出同意转换的决定，而应按新客户对待并按初审进行审核，此类情况包括：If, following document review and/or on-site visit prior to transfer, BCC still has doubts regarding the adequacy of the certification certificate held by the applicant, a decision to agree to the transfer shall not be made. Instead, the applicant shall be treated as a new client and subject to an initial certification audit. Such cases include:

(1)如果组织所获的认证证书未经任何 IAF MLA 签约机构认可。if the certificate obtained by the organization never accredited by any IAF MLA treaty organization;

(2)已知的被暂停或正在接受暂停处理的认证证书。the known suspended certificate or the certificate is being on suspended;

(3)如果不能获得初次认证审核最近的再认证审核及后续监督的审核报告，或逾期未进行监督/再认证。the initial certification audit report, or most recent re-certification and the subsequent surveillance audits reports is unavailable; or the surveillance audit/re-certification fails to be carried out;

(4)BCC 安排的现场访问中对体系持续运行的充分性、有效性及适宜性做出否定结论。a negative conclusion has been drawn during the on-site visit by BCC on the sufficiency, effectiveness and suitability to the continued operation of the system.

#### 6.1.8 签订《管理体系认证转换协议》:Transfer Agreement of Management System Certification

在 BCC 同意转入后，换发 BCC 证书前，拟接收转换客户的部门应与客户签订《管理体系认证转换协议》。

For client who plans to transfer to BCC for recertification or surveillance, the ***Transfer Agreement of Management System Certification*** shall be signed with the client, after BCC agrees to accept and before the certificate is issued by BCC.

#### 6.1.9证书转换的批准 The approval of certificate transfer

**6.1.9.1**在完成下列认证证书转换前的评审并由未参与评审的认证决定人员评定后,可以报请总经理/授权人批准换发认证证书。Only after the following affairs have been completed and reviewed by the competent certification decision personnel who is different to from the one carrying out the pre-transfer review, the transfer will be promoted to the General Manager/ the authorized personnel for approval:

(1)对所有尚未关闭的严重不符合的纠正和纠正措施进行验证; has verified the corrections and corrective actions to the all outstanding major NCRs;

(2)对所有尚未关闭的轻微不符合的纠正、纠正措施计划进行评审并接受; has reviewed and accepted the plans for corrections and corrective actions to all the minor NCR;

**6.1.9.2**证书颁发日期为总经理/授权人批准日期,且有效期维持原颁证机构的认证证书本周期的颁发日期、有效期。The issuance date of the certificate is upon from the date of the approval of the President / the authorized personnel. And the validity term is in accordance with the term of the certificate issued by the original certification body.

#### 6.1.10转换认证证书的通报 Notifying the transfer certification

除按要求通报 CNCA 及认可机构外,根据 CNAS-CC12 (IAF MD2) 认可要求,转换证书颁发后还应通知原颁证机构。In addition to notifying CNCA and corresponding AB as required, according to CNAS-CC12 (IAF MD2) approval requirements, the original certification authority shall also be notified after the issuance of the certificate of conversion.

#### 6.2CCAA 转换机构备案 filing the transfer application to CCAA

对于被列入 CCAA 行业自律监管范围的认证领域 (QMS, EMS, OHSMS, FSMS, HACCP, ISMS, IPMS, OP 等领域) 同一获证组织同一管理体系如果曾经获得过认证,无论当前认证证书是有效的还是无效的(处于暂停或撤销状态),均应按照 CCAA 要求进行转换机构备案。For certification fields (including QMS, EMS, OHSMS, FSMS, HACCP, ISMS, IPMS, OP, etc.) listed in the scope of CCAA's self-regulatory oversight, if the same certified organization's identical management system has previously obtained certification, regardless of whether the current certification certificate is valid or invalid (including states of suspension or withdrawn), transfer filing to CCAA shall be conducted in accordance with CCAA requirements.

#### 6.2.1CCAA 认证转换的条件: CCAA requirements for certification transfer

根据 CCAA 的转换要求,当转换满足以下条件之一方可进行转换: One of the following conditions should be satisfied in certificate transfer in accordance with the CCAA's requirements:

(1)原发证机构在对该获证组织实施认证的过程中,存在违反相关法律法规、认可规范、行业自律规范的行为,且转入机构或获证组织可以举证; The original issuing CB has any behavior of violation of the relevant laws and regulations, approved specifications, industry self-regulatory to the certified organizations during the certification processes, which can be proved by the receiving CB or the certified organization;

(2)原发证机构在证书有效期内受到了行政监管部门、认可机构、行业协会的处罚; The original issuing certification body has been punished by the administration department, accreditation body, and industrial association during the valid period of certificate.

(3)转换证书不造成原证书的失效，获证组织同时持有多张证书，继续接受原认证机构对原证书的监督； The certificate transfer will not result the original certificate become invalid. The certified organization will keep more than one certificate and continue to receive the surveillance audit from the original CB;

(4)持有多个认证机构证书的获证组织，需要缩减认证机构数量时； The certified organization holding more than one certificate issued by multiple CBs requires reducing the number of CBs (at least one of the condition listed below shall be satisfied with)；

- a) 转出机构的证书可以在 CNCA 网站查询并处于有效状态，且获证组织出具声明时； The certificate issued by the origin CB can be inquired in the website of CNCA and the client has made the declaration;
- b) 转出机构的证书不能在 CNCA 网站查询，且获证组织出具声明时； The certificate issued by the origin CB cannot be inquired in the website of CNCA and the client has made the declaration;
- c) 转出机构的证书处于无效状态，且获证组织出具声明时； The certificate issued by the origin CB is invalid and the client has made the declaration;
- d) 转出机构和 BCC 的证书均处于无效状态，且获证组织出具声明时； The certificates issued by the origin CB and BCC are all invalid and the client has made the declaration;
- e) 获证组织不满意原认证机构的服务，或根据获证组织发展需要确需变更认证机构，且获证组织可以出具书面声明时。The certified organization is not satisfied with the services of original CB, or does need to change CB according to its development and the certified organizations is able to issue a written statement;

(5)获证组织的原证书在原机构认证期将满，证书即将到期，且获证组织自愿转换并可出具声明时（CCAA 接受证书即将到期的时间期限，为办理本月再向后延续三个月内即将到期的证书，如 2012 年 3 月办理，2012 年 6 月底以前到期的证书视为即将到期的证书）； The certificate issued by the original issuing CB comes to expiration and the client has made declaration for voluntary transfer (the certificate expired within three months will be accepted by CCAA, e.g. a certificate expired in the end of June, will be accepted for transfer in March, 2012)

(6)获证组织不满意原认证机构的服务，或根据获证组织发展需要确需变更认证机构，且获证组织可以出具书面声明时。The certified organization is not satisfied with the services of original CB, or does need to change CB according to its development and the certified organizations is able to issue a written statement;

(7)获证组织认为原机构对其做出的暂停、撤销证书的“暂禁信息”有异议，向 CCAA 提出后经 CCAA 核实为暂禁原因不实的； The client with its certificate suspended or withdrawn by the origin CB appeals to CCAA , who makes the conclusion that the reason of suspension or withdrawal is insufficient after investigation;

(8)获证组织在证书到期前 3 个月内由原机构录入暂停、撤销证书的暂禁信息，经 BCC 先行提出转换申请后，由 CCAA 核实为暂禁原因不实的； The information of suspension or withdrawal has been put in the system within three months before the expiration by the original CB and is confirmed insufficient by CCAA after BCC submitted the transfer application of this client；

(9)原机构不能为获证组织颁发带认可标志的认证证书，而 BCC 可以颁发带认可标志的认证证书，并由获证组织出具声明时。The certification scope of the client is beyond the original CB's accreditation scopes but it is within BCC's accreditation scope and the client has made the declaration;

(10)原认证机构同意转出的证书，附原机构同意转出的书面文件，并由获证组织出具声明时。When the original CB agrees to transfer the certificate, accompanied by written documentation from the original CB consenting to the transfer, and the certified organization has made the declaration.

## 6.2.2 不可以转换的情况：Situations that not allowed to transfer

根据 CCAA 发布的《认证证书转换实施指南》，属于以下情况之一的，任何认证机构在一年内不得受理同一组织的认证申请和做出发放证书的决定。具体情况为： According to the "Implementation Guidelines for the Transfer of Certification Certificates" issued by CCAA, for any of the following situations, no certification body shall accept the certification application of the same organization and make a decision to issue a certificate within one year. The situations are:

- (1)其他认证机构对受审核方实施初次审核的结论为不推荐认证注册，且数据录入协会自律监管系统暂禁数据库时； When the conclusion of the initial audit carried out by other certification body on the auditee is that certification registration is not recommended, and the data is entered into the temporary prohibition database of CCAA self-regulatory supervision system;
- (2)其他认证机构对受审核方实施监督审核的结论为不推荐继续使用认证证书，且数据录入协会自律监管系统暂禁数据库时； When the conclusion of the surveillance audit carried out by other certification body on the auditee is that it is not recommended to continue using the certification certificate, and the data is entered into the temporary prohibition database of CCAA self-regulatory supervision system;
- (3)其他认证机构对受审核方实施再认证的结论为不推荐再次认证注册的，且数据录入协会自律监管系统暂禁数据库时； When the conclusion of the recertification audit carried out by other certification body on the auditee is that recertification registration is not recommended, and the data is entered into the temporary prohibition database of CCAA self-regulatory supervision system;
- (4)原发证机构暂停、撤销获证组织认证证书自做出暂停、撤销证书决定之日起，一年内其它认证机构不得对同一组织做出发放认证证书的决定。 The original certificate-issuing body suspends or withdraws the certification certificate of the certified organization; from the date when the decision to suspend or withdraw the certificate is made, within one year, other certification bodies shall not make a decision to issue a certification certificate to the same organization.

对于以上情形，满一年之后，BCC 可在 CCAA 自律监管平台备进行转换认证机构备案且 CCAA 批准后，可按照初审受理认证申请。 For the above situations, after one full year, BCC may submit a filing for the transfer of certification bodies on the CCAA Self-Regulatory Supervision Platform. Following approval by CCAA, certification applications may be accepted as initial certification.

## 附录 1：管理体系认证组织应提交的资料

### Appendix 1: Required Documentation for Management System Certification Organizations

基本资料 Basic information	<p><input type="checkbox"/> 法律地位证明文件（如企业法人营业执照、事业单位法人代码证书、社团法人登记证等）； Legal status proof documents (such as business license of enterprise legal person, code certificate of public institution legal person, registration certificate of association legal person, etc.);</p> <p><input type="checkbox"/> 有效的资质证明、产品生产许可证、强制性产品认证证书等涉及法律法规规定的行政许可的须提交相应的行政许可证件复印件（需要时）； Effective qualification certificates, product production licenses, mandatory product certification certificates, and other administrative licenses required by laws and regulations must be submitted with corresponding copies of administrative license documents (if necessary);</p> <p><input type="checkbox"/> 临时场所清单（如工程建设施工组织在建项目清单、信息安全管理、云服务信息安全管理、公有云中个人可识别信息保护管理、隐私信息管理、个人可识别信息保护管理及基于 ISO/IEC20000-1 的服务管理体系的临时服务点）； List of temporary locations (such as the list of construction projects under construction, information security management system, cloud service information security management system, public cloud personal identifiable information protection management system, privacy information management system, personal identifiable information protection management system, and temporary service points based on ISO/IEC 20000-1 service management system);</p> <p><input type="checkbox"/> 至少应提供以下文件化信息：方针、目标、范围、组织为过程运行及沟通而保持的信息，必须提供：组织简介、组织结构（组织机构图）、人员情况和职能分工、过程路线图/工艺流程图/过程描述（应明确说明关键过程和特殊过程）及其有关的过程文件，如：风险控制情况、对 IT 的应用等； At least the following documented information should be provided: policies, objectives, scope, and information maintained by the organization for process operation and communication. It is necessary to provide: organizational profile, organizational structure (organizational chart), personnel situation and functional division, process roadmap/process flow chart/process description (key and special processes should be clearly stated) and related process documents, such as risk control situation, IT application, etc;</p> <p><input type="checkbox"/> 排污许可证（需要时）； Pollutant Discharge Permit (if required);</p> <p><input type="checkbox"/> 安全生产许可证（需要时） Safety Production License (if required)</p> <p><input type="checkbox"/> 环评竣工验收报告相关资料(验收批复或验收报告)或环境影响登记表备案结果(必要时)； Relevant materials for the completion acceptance report of the environmental impact assessment (acceptance approval or acceptance report) or the filing results of the environmental impact registration form (if necessary); 关于认证活动的限制条件(如出于安全和/或保密等原因，存在时)； <input type="checkbox"/> Restrictions on certification activities (such as for security and/or confidentiality reasons, when they exist);</p> <p><input type="checkbox"/> 附表一 管理体系覆盖分支机构情况登记表。Appendix 1 Registration Form for Management System Coverage of Branches.</p>
质量管理体系、工程建设施工组织 Quality management system, engineering	<p><input type="checkbox"/> 与产品/服务有关的技术标准、质量标准清单包括强制性标准清单（必要时）； The list of technical standards and quality standards related to products/services includes a mandatory standard list (if necessary); <input type="checkbox"/> 作业文件或作业文件清单（适用于工程建设施工组织）。Homework documents or homework document list (applicable to construction organization).</p> <p><input type="checkbox"/> 一年内所发生的质量事故、与质量相关的行政处罚、产品质量国家监督抽查不合格或其他质量抽查不合格的情况以及整改情况(适用时)； Within one year, the quality accidents that have occurred, quality-related administrative penalties, unqualified results in national supervision and</p>

construction organization	random inspections of product quality or other quality random inspections, as well as rectification measures (if applicable);
医疗器械质量管理体系 Medical Device Quality Management System	<input type="checkbox"/> 产品说明书; Product manual; <input type="checkbox"/> 适用的法律法规清单; (适用时) List of applicable laws and regulations;(When applicable) <input type="checkbox"/> 近期国家、行业产品/服务监督抽查报告; (如发生) Recent national and industry product/service supervision and inspection reports;(If it happens) <input type="checkbox"/> 出口国或地区的适用的产品标准和法规清单 (必要时提供法规) (适用于国内不销售仅供出口使用)。List of applicable product standards and regulations for the exporting country or region (provide regulations if necessary) (applicable for domestic non sales only for export use). <input type="checkbox"/> 一年内所发生的质量事故、与质量相关的行政处罚、产品质量国家监督抽查不合格或其他质量抽查不合格的情况以及整改情况(适用时); Within one year, the quality accidents that have occurred, quality-related administrative penalties, unqualified results in national supervision and random inspections of product quality or other quality random inspections, as well as rectification measures (if applicable);
环境管理体系认证 Environmental management system certification	<input type="checkbox"/> 厂区平面图 (包括:污染物排放点分布图) ; Factory floor plan (including: distribution map of pollutant discharge points); <input type="checkbox"/> 环境因素及重大环境因素清单 (对应至每一职责部门或运行活动单元、涵盖三种状态和三种时态) ; List of environmental factors and major environmental factors (corresponding to each responsible department or operational activity unit, covering three states and three tenses); <input type="checkbox"/> 国家及行业适用的法律、法规和强制性标准 (名称、编号、发布版本 / 时间) 清单。List of applicable laws, regulations, and mandatory standards (name, number, release version/time) for the country and industry.
职业健康安全管理体系 Occupational Health and Safety Management System	<input type="checkbox"/> 厂区平面图; <input type="checkbox"/> Factory floor plan; <input type="checkbox"/> 安全评价报告等客户符合法律法规要求的证据 (需要时) Evidence of customer compliance with legal and regulatory requirements, such as safety evaluation reports (when necessary) <input type="checkbox"/> 识别的与过程有关的主要危险源和 OHS 风险评价清单(对应至每一职责部门或运行活动单元、涵盖三种状态和三种时态)Identify the main hazards related to the process and OHS risk assessment checklist (corresponding to each responsible department or operational activity unit, covering three states and three tenses) <input type="checkbox"/> 在产品和服务提供过程中所使用的主要危险材料清单 (应包括名称、危险性描述、使用量等) List of major hazardous materials used in the provision of products and services (including name, hazard description, usage amount, etc.) <input type="checkbox"/> 国家及行业适用的法律、法规和强制性标准 (名称、编号、发布版本 / 时间) 清单。List of applicable laws, regulations, and mandatory standards (name, number, release version/time) for the country and industry.
信息安全管理 体系 Information Security Management System	<input type="checkbox"/> 信息安全管理 体系方针和目标; Information security management system policy and objectives; <input type="checkbox"/> 支持信息 安全管理 体系的规程和控制措施; Support the regulations and control measures of the information security management system; <input type="checkbox"/> 风险评估 报告 (含风险评估方法的描述); Risk assessment report (including description of risk assessment methods); <input type="checkbox"/> 残余风险 报告; Residual risk report;

	<p><input type="checkbox"/> 风险处置计划; Risk disposal plan;</p> <p><input type="checkbox"/> 适用性声明; Declaration of Applicability;</p> <p><input type="checkbox"/> 适用的法律法规的标准的清单; List of applicable laws and regulations and standards;</p> <p><input type="checkbox"/> 附表三 保密和敏感信息声明表; Appendix 3 Confidentiality and Sensitive Information Declaration Form;</p> <p><input type="checkbox"/> 附表四 信息安全管理/云服务信息安全管理/公有云中个人可识别信息保护管理体系/隐私信息管理体系/个人可识别信息保护管理体系/业务连续性管理体系认证客户基本信息。 Appendix 4 Information Security Management System/Cloud Service Information Security Management System/Public Cloud Personal Identifiable Information Protection Management System/Privacy Information Management System/Personal Identifiable Information Protection Management System/Business Continuity Management System Certification Customer Basic Information.</p>
	<p><input type="checkbox"/> 需同步提交本表格中提到的信息安全管理/云服务信息安全管理/公有云中个人可识别信息保护管理体系/隐私信息管理体系/个人可识别信息保护管理体系/业务连续性管理体系认证客户基本信息 (ISMS 发证机构非 BCC 的客户适用) The information security management system certification materials mentioned in this form need to be submitted synchronously (applicable to ISMS issuing agencies other than BCC clients)</p> <p><input type="checkbox"/> 覆盖云服务信息安全管理/云服务信息安全管理/公有云中个人可识别信息保护管理体系/隐私信息管理体系/个人可识别信息保护管理体系/业务连续性管理体系认证客户基本信息 (ISMS 发证机构非 BCC 的客户适用) The internal audit and management review materials of the information security management system covering the certification scope of cloud service information security management system for this year;</p> <p><input type="checkbox"/> 云服务信息安全管理/云服务信息安全管理/公有云中个人可识别信息保护管理体系/隐私信息管理体系/个人可识别信息保护管理体系/业务连续性管理体系认证客户基本信息 (ISMS 发证机构非 BCC 的客户适用) Cloud service information security management system policy and objectives;</p> <p><input type="checkbox"/> 支持云服务信息安全管理/云服务信息安全管理/公有云中个人可识别信息保护管理体系/隐私信息管理体系/个人可识别信息保护管理体系/业务连续性管理体系认证客户基本信息 (ISMS 发证机构非 BCC 的客户适用) Support regulations and control measures for cloud service information security management system;</p> <p><input type="checkbox"/> 风险评估报告 (含风险评估方法的描述) Risk assessment report (including description of risk assessment methods);</p> <p><input type="checkbox"/> 残余风险报告 Residual risk report;</p> <p><input type="checkbox"/> 风险处置计划 Risk disposal plan;</p> <p><input type="checkbox"/> 适用性声明 Declaration of Applicability;</p> <p><input type="checkbox"/> 适用的法律法规的标准的清单 List of applicable laws and regulations and standards;</p> <p><input type="checkbox"/> 附表三 保密和敏感信息声明表 Appendix 3 Confidentiality and Sensitive Information Declaration Form;</p> <p><input type="checkbox"/> 附表四 信息安全管理/云服务信息安全管理/公有云中个人可识别信息保护管理体系/隐私信息管理体系/个人可识别信息保护管理体系/业务连续性管理体系认证客户基本信息。 Appendix 4 Information Security Management System/Cloud Service Information Security Management System/Public Cloud Personal Identifiable Information Protection Management System/Privacy Information Management System/Personal Identifiable Information Protection Management System/Business Continuity Management System Certification Customer Basic Information.</p>

Information Protection Management System	<p>and management system of personally identifiable information in public clouds;</p> <p><input type="checkbox"/> 支持公有云中个人可识别信息保护管理体系的规程和控制措施; Support the regulations and control measures for the protection and management system of personally identifiable information in public clouds;</p> <p><input type="checkbox"/> 隐私影响评估报告（含隐私影响评估方法的描述）； Privacy Impact Assessment Report (including description of privacy impact assessment methods);</p> <p><input type="checkbox"/> 适用性声明； Declaration of Applicability;</p> <p><input type="checkbox"/> 适用的法律法规的标准的清单； List of applicable laws and regulations and standards;</p> <p><input type="checkbox"/> 附表三 保密和敏感信息声明表； Appendix 3 Confidentiality and Sensitive Information Declaration Form;</p> <p><input type="checkbox"/> 附表四 信息安全管理/云服务信息安全管理/公有云中个人可识别信息保护管理体系/隐私信息管理体系/个人可识别信息保护管理体系/业务连续性管理体系认证客户基本信息。 Appendix 4 Information Security Management System/Cloud Service Information Security Management System/Public Cloud Personal Identifiable Information Protection Management System/Privacy Information Management System/Personal Identifiable Information Protection Management System/Business Continuity Management System Certification Customer Basic Information.</p>
隐私信息管理体系 Privacy Information Management System	<p><input type="checkbox"/> 需同步提交本表格中提到的信息安全管理体系认证资料（ISMS 发证机构非 BCC 的客户适用） The information security management system certification materials mentioned in this form need to be submitted synchronously (applicable to ISMS issuing agencies other than BCC clients)</p> <p><input type="checkbox"/> PII 识别处理 PII 信息流涉及的信息系统、存储介质等清单 List of information systems, storage media, etc. involved in PII identification and processing of PII information flow</p> <p><input type="checkbox"/> PII 风险评估报告 PII Risk Assessment Report</p> <p><input type="checkbox"/> PII 影响分析报告 PII Impact Analysis Report</p> <p><input type="checkbox"/> 公司场景与角色识别表 Company Scene and Role Identification Table</p> <p><input type="checkbox"/> 适用性声明； Declaration of Applicability;</p> <p><input type="checkbox"/> 适用的法律法规的标准的清单； List of applicable laws and regulations and standards;</p> <p><input type="checkbox"/> 附表三 保密和敏感信息声明表； Appendix 3 Confidentiality and Sensitive Information Declaration Form;</p> <p><input type="checkbox"/> 附表四 信息安全管理/云服务信息安全管理/公有云中个人可识别信息保护管理体系/隐私信息管理体系/个人可识别信息保护管理体系/业务连续性管理体系认证客户基本信息 Appendix 4 Information Security Management System/Cloud Service Information Security Management System/Public Cloud Personal Identifiable Information Protection Management System/Privacy Information Management System/Personal Identifiable Information Protection Management System/Business Continuity Management System Certification Customer Basic Information</p>
个人可识别信息保护管理体系 Personal Identifiable Information Protection Management	<p><input type="checkbox"/> 需同步提交本表格中提到的信息安全管理体系认证资料（ISMS 发证机构非 BCC 的客户适用） The information security management system certification materials mentioned in this form need to be submitted synchronously (applicable to ISMS issuing agencies other than BCC clients)</p> <p><input type="checkbox"/> PII 识别处理 PII 信息流涉及的信息系统、存储介质等清单 List of information systems, storage media, etc. involved in PII identification and processing of PII information flow</p> <p><input type="checkbox"/> PII 风险评估报告 PII Risk Assessment Report</p> <p><input type="checkbox"/> PII 影响分析报告 PII Impact Analysis Report</p> <p><input type="checkbox"/> 公司场景与角色识别表 Company Scene and Role Identification Table</p>

System	<input type="checkbox"/> 适用性声明; Declaration of Applicability; <input type="checkbox"/> 适用的法律法规的标准的清单; List of applicable laws and regulations and standards; <input type="checkbox"/> 附表三 保密和敏感信息声明表; Appendix 3 Confidentiality and Sensitive Information Declaration Form; <input type="checkbox"/> 附表四 信息安全管理/云服务信息安全管理/公有云中个人可识别信息保护管理体系/隐私信息管理体系/个人可识别信息保护管理体系/业务连续性管理体系认证客户基本信息 Appendix 4 Information Security Management System/Cloud Service Information Security Management System/Public Cloud Personal Identifiable Information Protection Management System/Privacy Information Management System/Personal Identifiable Information Protection Management System/Business Continuity Management System Certification Customer Basic Information
基于 ISO/IEC20000-1 的服务管理体系 Service Management System Based on ISO/IEC 20000-1	<input type="checkbox"/> SLA 目录; SLA directory; <input type="checkbox"/> 服务管理目标和计划; Service management objectives and plans; <input type="checkbox"/> 适用的法律法规的标准的清单。List of applicable laws and regulations and standards. <input type="checkbox"/> 附表五 基于 ISO/IEC20000-1 的服务管理体系 服务相关的风险评价表 Appendix 5: Risk Assessment Form for Service Management System Based on ISO/IEC 20000-1
业务连续性管理体系 Business Continuity Management System	<input type="checkbox"/> 业务影响分析 (BIA) Business Impact Analysis (BIA) <input type="checkbox"/> 风险评估报告 (BRA) ; Risk Assessment Report (BRA); <input type="checkbox"/> 业务连续性计划清单 (BCP) ; Business Continuity Plan Checklist (BCP); <input type="checkbox"/> 适用的法律法规的标准的清单。List of applicable laws and regulations and standards. <input type="checkbox"/> 附表三 保密和敏感信息声明表; Appendix 3 Confidentiality and Sensitive Information Declaration Form; <input type="checkbox"/> 附表四 信息安全管理/云服务信息安全管理/公有云中个人可识别信息保护管理体系/隐私信息管理体系/个人可识别信息保护管理体系/业务连续性管理体系认证客户基本信息。 Appendix 4 Information Security Management System/Cloud Service Information Security Management System/Public Cloud Personal Identifiable Information Protection Management System/Privacy Information Management System/Personal Identifiable Information Protection Management System/Business Continuity Management System Certification Customer Basic Information.
能源管理体系 energy management system	<input type="checkbox"/> 主要能源种类; <input type="checkbox"/> Main types of energy; <input type="checkbox"/> 用能单位及边界描述; Description of energy consuming units and boundaries; <input type="checkbox"/> 能源使用和消耗情况 (如能源评审报告, 能源利用状况报告、能耗统计表、能源平衡表、能流图、能源管网图); Energy usage and consumption situation (such as energy review report, energy utilization status report, energy consumption statistics table, energy balance sheet, energy flow diagram, energy pipeline network diagram); <input type="checkbox"/> 主要用能设备设施及系统信息 (如主要耗能设备清单、能源计量器具台账) ; Main energy consuming equipment, facilities, and system information (such as a list of main energy consuming equipment and a ledger of energy measuring instruments); <input type="checkbox"/> 适用的标准和法律法规。Applicable standards and laws and regulations. <input type="checkbox"/> 附表六 组织能源绩效统计表 Appendix 6: Statistical Table of Organizational Energy

	Performance
供应链安全管理体系 Supply Chain Security Management System	<p><input type="checkbox"/> 厂地平面图（大型制造业、运输仓储业、销售行业组织需提供，注明客户组织物理便捷内相关场所的薄弱点、临近资产、临近道路/河流和其他通道入口信息等） Factory floor plan (to be provided by large manufacturing, transportation and warehousing, and sales industry organizations, indicating weak points, adjacent assets, access information to roads/rivers, and other channels within the physical convenience of the customer organization)</p> <p><input type="checkbox"/> 识别的组织供应链安全体系范围有关的安全威胁和风险评价结果（对应至每一职责部门或运行活动单元、涵盖三种状态和三种时态） Identify security threats and risk assessment results related to the scope of the organizational supply chain security system (corresponding to each responsible department or operational activity unit, covering three states and three tenses)</p> <p><input type="checkbox"/> 国家及行业适用的有关供应链安全方面相关的法律、法规和强制性标准（名称、编号、发布版本 / 时间）清单 List of laws, regulations, and mandatory standards (names, numbers, release versions/times) related to supply chain security applicable to the country and industry</p>
合规管理体系 Compliance management system	<p><input type="checkbox"/> 合规要求清单、合规义务清单； <input type="checkbox"/> List of compliance requirements and compliance obligations;</p> <p><input type="checkbox"/> 合规风险的识别、分析和评价的结果；主要的、重大的风险的、不可回避的合规风险分析评价结果； The results of identifying, analyzing, and evaluating compliance risks; The main, significant, and unavoidable compliance risk analysis and evaluation results;</p> <p><input type="checkbox"/> 近一年的合规报告。Compliance report for the past year.</p>
ESG 管理体系 ESG management system	<p><input type="checkbox"/> ESG 管理手册及相应程序文件（包括企业 ESG 方针及政策） ESG management manual and corresponding procedural documents (including corporate ESG policies and guidelines)</p> <p><input type="checkbox"/> 重大议题清单及控制措施 List of Major Issues and Control Measures</p> <p><input type="checkbox"/> 利益相关方清单及其需求 List of stakeholders and their needs</p> <p><input type="checkbox"/> 环境因素及重大环境因素清单，目标以及实施情况 List of Environmental Factors and Major Environmental Factors, Objectives, and Implementation Status</p> <p><input type="checkbox"/> 社会责任政策，目标以及实施情况 Social responsibility policies, goals, and implementation status</p> <p><input type="checkbox"/> 适用于其 ESG 管理体系的法律法规及其他要求的清单 List of laws, regulations, and other requirements applicable to its ESG management system</p> <p><input type="checkbox"/> 公司治理结构说明，包括董事会、监事会、高级管理层的构成及职责。Explanation of corporate governance structure, including the composition and responsibilities of the board of directors, supervisory board, and senior management.</p> <p><input type="checkbox"/> 企业道德规范和反腐败政策。Corporate ethical standards and anti-corruption policies.</p> <p><input type="checkbox"/> 股东关系管理和投资者关系记录。Shareholder relationship management and investor relationship records.</p> <p><input type="checkbox"/> ESG 管理体系中潜在风险的识别和控制措施。Identification and control measures for potential risks in the ESG management system.</p>
企业诚信管理体系 Enterprise Integrity Management System	<p><input type="checkbox"/> 诚信手册、程序； Integrity manual and procedures;</p> <p><input type="checkbox"/> 重要诚信要素清单； List of important integrity elements;</p> <p><input type="checkbox"/> 最新的企业信用报告或审计意见；其中，企业信用报告应由中国人民银行征信中心、征信分中心或辖内企业信用报告查询网点出具；审计意见应由第三方财务/审计机构出具； The latest corporate credit report or audit opinion; Among them, the enterprise credit report shall be issued by the People's Bank of China's credit investigation center, credit investigation sub center or the enterprise credit report inquiry network within the jurisdiction; Audit opinions should be issued by third-party financial/auditing institutions;</p> <p><input type="checkbox"/> 近 1 年诚信守法、没有发生重大质量、安全、环境事故的声明； Declaration of integrity,</p>

	<p>compliance with the law, and no major quality, safety, or environmental accidents in the past year;</p> <p><input type="checkbox"/> 适用于其诚信管理体系的法律法规及其他要求的清单； A list of laws, regulations, and other requirements applicable to its integrity management system;</p> <p><input type="checkbox"/> 适用时，满足申请组织 EiMS 要求（包括 GB/T31950 《企业诚信管理体系》的要求）所涉及的其他组织清单。 When applicable, meet the EiMS requirements of the applying organization (including the requirements of GB/T31950 "Enterprise Integrity Management System") and the list of other organizations involved.</p>
<p>资产管理体系 Asset Management System</p>	<p><input type="checkbox"/> 资产手册、程序； Asset manual and procedures;</p> <p><input type="checkbox"/> 战略资产管理计划（SAMP）； Strategic Asset Management Plan (SAMP);</p> <p><input type="checkbox"/> 关键资产类别清单(如该清单已在战略资产管理计划中体现, 可不单独提供); List of key asset categories (if the list is already reflected in the strategic asset management plan, it may not be provided separately);</p> <p><input type="checkbox"/> 适用的法律法规清单； List of applicable laws and regulations;</p> <p><input type="checkbox"/> 适用时，满足申请组织 AMS 要求（包括 GB/T 33173 标准要求）所涉及的其他组织清单、外包清单。 When applicable, meet the AMS requirements of the applying organization (including GB/T 33173 standard requirements) and other organization lists and outsourcing lists involved.</p>
<p>申请认证证书 转换组织补充 资料 Application for certification certificate conversion organization supplementary information</p>	<p><input type="checkbox"/> 已认可的认证证书； accredited certification certificate;</p> <p><input type="checkbox"/> 上一次审核（初审/再认证）报告、随后的监督报告和审核中的不符合项报告单及采取纠正措施关闭情况的证实性资料； The previous audit (initial review/re certification) report, subsequent surveillance audits report, non-conformities report during the audit, and corrective measures taken to close the non-conformities;</p> <p><input type="checkbox"/> 收到的投诉及采取的措施情况；（存在时） Complaints received and measures taken;(When in existence)</p> <p><input type="checkbox"/> 在合规性方面与监管部门的任何承诺或约定。（存在时） Any commitment or agreement with regulatory authorities regarding compliance.(When in existence)</p>
<p>注： 1. 请在提供的资料前打“×”。 Note: 1. Please mark "X" before the provided information.</p> <p>2. 扩项申请时，需提供因扩项而增加或变化的部分、有时限要求的证明性文件。 When applying for expansion, supporting documents must be provided for the increased or changed parts due to the expansion, as well as the time limit requirements.</p>	

**附录 2:管理体系认证程序表**  
**Appendix 2: Management System Certification Process**

