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|  | 中田国际认证（深圳）有限公司 Zhongtian International Certification (Shenzhen) Co., Ltd. | 文件编号 Document number | ZHONGTIAN-GK04 |
| | 认证流程说明 Description of the certification process | 版本状态 Version status | A/1 |
| | | 生效日期 Effective date | 2025-11-01 |

认证流程说明 Description of the certification process

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1、认证审核

1. Certification audit

1.1 认证申请

1.1 Application for certification

申请组织向机构市场部提出认证申请，填写《认证申请表》，并按申请表要求提供相关附件。市场部受理认证申请后，进行申请评审（必要时进行初访），并提供认证报价。双方确认认证依据、费用等相关事宜后，协商签订认证协议。

The applicant organization shall submit an application for certification to the Marketing Department of the institution, fill in the Application Form for Certification, and provide relevant attachments as required by the application form. After accepting the application for certification, the Marketing Department shall review the application (make an initial visit if necessary) and provide the certification quotation. After confirming the certification basis, cost and other related matters, both parties shall negotiate and sign the certification agreement.

1.2 认证准备

1.2 Preparation for certification

机构与申请组织明确认证要求，即申请组织已按认证标准要求建立了文件化的管理体系，体系充分有效试运行三个月以上，实施了内部审核和管理评审，且最近两年内未发生过重大质量/环境/安全事故。

The organization and the applicant organization shall specify the certification requirements, that is, the applicant organization has established a documented management system according to the requirements of the certification standards, the system has been fully and effectively put into trial operation for more than three months, the internal audit and management review have been carried out, and no major quality/environmental/safety accidents have occurred in the last two years.

申请组织应在现场审核前 15 天提交相关文件，包括法律地位证明文件（如营业执照、生产许可证、CCC 证书等）、管理手册、程序文件及作业指导书清单、符合法律法规要求的证明文件（如消防验收、环评批复等）。

The applicant organization shall submit relevant documents 15 days before the on-site audit, including legal status certification documents (such as business license, production license, CCC certificate, etc.), management manual, list of procedure documents and operation instructions, and certification documents that meet the requirements of laws and regulations (such as fire control acceptance, EIA approval, etc.).

机构运营部组建审核组，并与申请组织确认审核组成员和审核时间。

The organization operation department shall set up an audit team and confirm the audit team members and audit time with the applicant organization.


1.3 第一阶段审核

1.3 First stage audit

1.3.1 文件审核

1.3.1 Document review

审核组将依据标准和相关法律法规要求，对客户的管理体系文件进行符合性审核。

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The audit team will audit the compliance of the customer's management system documents in accordance with the standards and relevant regulatory requirements.

1.3.2 现场审核

1.3.2 On-site audit

第一阶段的现场审核主要是收集客户管理体系范围、过程和场所的必要信息，评价客户是否在资源配置、关键绩效等方面为实施第二阶段审核做好准备，为策划第二阶段审核提供关注点。

The on-site audit of the first stage is mainly to collect the necessary information of the scope, process and location of the customer management system, evaluate whether the customer is ready for the implementation of the second stage audit in terms of resource allocation and key performance, and provide the focus for the planning of the second stage audit.

一阶段审核发现的问题通过问题清单的方式提交给客户整改。

The problems found in the first-stage audit shall be submitted to the customer for rectification in the form of a list of problems.

1.4 第二阶段审核

1.4 Second stage audit

审核组依据审核计划对客户进行现场审核，验证管理体系与审核准则（包括管理体系标准、组织的体系文件和相关的法律法规）的符合性及实施的有效性。机构视审核为体系诊断过程，并为申请组织提供管理体系持续改善之机会。

According to the audit plan, the audit team conducts on-site audit to the customer to verify the conformity and effectiveness of the management system and audit criteria (including management system standards, organization's system documents and relevant laws and regulations). The organization regards the audit as a process of system diagnosis and provides opportunities for continuous improvement of the management system of the applicant organization.

1.5 审核结论

1.5 Audit conclusion


审核组以客观、公正的态度收集客观证据，对于发现的不符合事实出具书面不符合项报告，要求限期整改，并做出是否推荐注册的审核结论。

The audit team shall collect objective evidence in an objective and impartial manner, issue a written nonconformity report on the nonconformity facts found, require rectification within a time limit, and make an audit conclusion on whether to recommend registration.

现场审核后，申请组织应对不符合项采取有效的纠正措施，并向审核组提交实施纠正措施之证明材料。

After the on-site audit, the applying organization shall take effective corrective measures for the nonconformities and submit the supporting materials for the implementation of the corrective measures to the audit team.

一般不符合要求 30 天内完成整改，必要时可延长至 90 天，对于一般不符合，审核组可进行书面验证。

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Rectification of general nonconformities shall be completed within 30 days, and may be extended to 90 days if necessary. For general nonconformities, the audit team may conduct written verification.

对现场审核发现的严重不符合，审核组应要求客户立即进行整改，通常要求在 15 天内纠正完成，如纠正措施（如一些工程改善、外部培训等）涉及时间较长等特殊原因，但不应超过 90 天，并向审核组提供相关的文件证明材料，纠正措施的现场验证可于下次现场审核时实施。

For the serious nonconformities found in the on-site audit, the audit team shall require the customer to rectify immediately, usually within 15 days, if the corrective measures (such as some engineering improvements, external training, etc.) involve special reasons such as long time, but not more than 90 days, and provide the audit team with relevant documentary evidence. Field verification of corrective actions may be performed at the next site audit.

1.6 注册颁证

1.6 Registration and certification

申请组织的审核材料经机构认证评定人员评定认可后，报机构法人代表或总经理签发认证证书。

After the examination materials of the applicant organization have been assessed and approved by the certification assessment personnel of the organization, they shall be submitted to the legal representative or general manager of the organization for issuance of the certification certificate.

机构网站上可通过客户名称及证书编号实时查询获证客户的认证信息。

The certification information of certified customers can be queried in real time through the customer name and certificate number on the website of the organization.

2、监督审核

2. Supervision and review

申请组织在获证后，需维持并持续改善管理体系。机构将对获证客户实施监督审核，以确认获证客户管理体系的持续符合性和有效性。

The applicant organization shall maintain and continuously improve the management system after obtaining the certificate. The organization will conduct surveillance audits on the certified customer to confirm the continued compliance and effectiveness of the certified customer management system.


获证后，机构对获证客户定期实施监督审核，现场监督审核的周期不超过 12 个月。机构运营部针对不同组织的具体情况或合同规定制定监督审核计划。

After obtaining the certificate, the institution shall regularly supervise and audit the certified customers, and the period of on-site supervision and audit shall not exceed 12 months. The Corporate Operations Department develops surveillance audit plans for the specific circumstances or contractual requirements of different organizations.

3、再认证审核

3. Recertification audit

获证客户在证书到期前须实施一次再认证审核。由获证客户在证书到期前 3-6 个月内向

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机构市场部提出再认证申请。

Certified customers are required to perform a recertification audit prior to the expiration of the certificate. The certified customer shall submit an application for re-certification to the institutional marketing department within 3-6 months before the expiration of the certificate.

经再认证审核（含文件审核、现场审核）合格后，机构向获证客户换发认证证书。

After passing the re-certification audit (including document audit and on-site audit), the organization shall renew the certification certificate to the certified customer.