有害物质过程管理体系认证规则

Certification Rules for IECQ HSPM



北京赛西认证有限责任公司

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（原中国电子技术标准化研究所认证中心）

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前 言

本认证规则由北京赛西认证有限责任公司制订并发布，版权归北京赛西认证有限责任公司所有，任何组织及个人未经北京赛西认证有限责任公司许可，不得以任何形式全部或部分使用。

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本规则首次发布实施日期：2022.6.17；

1）第 1 次修订，2022 年 9 月 27 日发布并实施，根据 IECQ 评审发现问题，进行了全文修订；

2）第 2 次修订，2025 年 6 月 6 日发布并实施，变更内容：增加方案策划、审核报告、不符合项纠正和纠正措施及其验证等内容；

3）第 3 次修订，2025 年 9 月 2 日发布并实施，变更内容：按照最新版本格式要求，增加目录、前言等，并在附录 2 增加了 IECQ 认可证书。

4）第 4 次修订，2026 年 06 月 09 日发布并实施，变更内容：依据国家认监委 6 项管理体系认证规则对本规则进一步全面修订。

5）第 5 次修订，2026 年 9 月 24 发布实施，变更内容：(1)规则编号修改为 **CESI-MS-OD01-HSPM;**（2）增加认证费用由认证委托人向认证机构直接支付，见 3.2；(3)进一步明确多场所不能抽样的要求见 3.3；（4）增加审核报告的内容要求，见 3.5.5

1 总则 General Principles

1.1 目的 Purpose

为保证北京赛西认证有限责任公司(以下简称赛西认证)有序、有效地实施国际电工委员会电子元器件质量评定体系（IECQ 体系)-有害物质过程管理体系（HSPM）认证工作，科学、公正地为所有申请方提供优良的管理体系认证服务，使申请方/申请方/获证组织充分了解赛西认证的认证程序和有关规定，特制定本认证规则，并作为公开文件向申请方提供。

In order to ensure that CESI Certification Co., Ltd. (hereinafter referred as CESI Certification) can orderly and effectively implement the International Electrotechnical Commission Quality Assessment System for electronic components (IECQ System) - Hazardous Substances Process Management System (HSPM), scientific and fairly to provide all applicants with excellent management system certification services, so that the applicant / applicant / certified organization may fully understand the certification procedures and relevant regulations of CESI Certification. The procedure rules are hereby formulated and provided to the applicant as a public document.

1.2 适用范围 Applicable Scopes

本认证规则适用于赛西认证开展的有害物质过程管理体系认证工作，可为申请方/受审核方/获证组织进行有害物质过程管理体系认证/注册提供指导。

The procedure rules are applicable to the certification of hazardous substance process management system carried out by CESI Certification, and can provide as the guidance for the applicant/auditee/certified organization to carry out the certification / registration of hazardous substance process management system.

注：赛西认证经 IECQ、国家认可委认可的认证领域、业务范围和获证组织名录可在 IECQ 官网证书查询系统(https://www.iecq.org/)以及赛西认证网站（www.cc.cesi.cn）中“体系认证”、“证书查询”栏查询。

Note: The certification fields, business scopes and certification organization list of CESI

Certification approved by IECQ and CNAS can be found at the certificate inquiry system on IECQ official website（https://www. iecq.org/ ）and at the "system certification" and "certificate query" column of the official website of CESI Certification （www.cc.cesi.cn ）

1.3 主要依据文件 Basis Documents

ISO/IEC 17021 Conformity assessment – Requirements for bodies providing audit and certification of management systems

ISO/IEC 17021 合格评定 对提供管理体系审核和认证机构的要求

IEC CA 01 IEC Conformity Assessment Systems - Basic Rules

IEC CA 01 IEC 合格评定体系 基本规则

IECQ 01S IECQ- IECQ Supplement to Harmonized Basic Rules

IECQ 01S IECQ 补充规则

IECQ 01A IECQ Guide - Guidance for the use of the IECQ Logo and IECQ Mark of Conformity

IECQ 01A IECQ 指南 IECQ 标识和 IECQ 符合性标识使用指南

IECQ 02 Rules of Procedure – General requirements for the acceptance of IECQ Certification Bodies into the IECQ System

IECQ 02 接受 IECQ CB 加入 IECQ 体系的基本要求

IECQ 03-1Rules of Procedure – General requirements for all IECQ Schemes

IECQ 03-1 接受 IECQ CB 加入 IECQ 体系的通用要求

IECQ 03-5 IECQ HSPM Scheme – Hazardous Substance Process Management

IECQ 03-5 IECQ HSPM 方案-有害物质过程管理

1.4 认证准则 Certification criteria

a.质量管理体系认证的基本准则是 GB/T 19001 或 ISO 9001 标准；

GB/T 19001/ISO 9001

b.IECQ QC 080000 有害物质过程管理体系要求

IECQ QC 080000 ， Hazardous Substance Process Management (HSPM) System Requirements

c. 申请方相关的体系文件要求和（或）申请方客户的特定要求

Relevant system specific requirements of the applicant and / or specific requirements of the applicant's customers

管理体系认证也可以按照申请方提出的其它国际公认的管理体系标准、文件以及申请方客户特定规范等进行认证，但这些认证标准、文件都将是公开的。

The management system certification can also be in accordance with other internationally recognized management system standards and documents proposed by the applicant and the specific specifications of the applicant's customers, but these certification standards and documents will be public.

1.5 术语说明 Terms

根据认证过程的变化,本规则对申请认证的组织使用了不同的称呼:

申请方：认证审核之前

Applicant: Prior to the certification audit

受审核方：审核过程中及获证前

Auditee: During the certification process and prior to certified

获证组织：获得管理体系认证证书后。

Certified organization: after achieving the certificate

2 申请方及受审核方条件 Conditions for applicant and auditee

2.1 申请方条件 for applicant

凡在赛西认证 IECQ 业务范围（业务范围见附录 2）内的业务均向所有申请方开放，申请方可以是：产品制造商、供应商、维修商和产品保养商。

All businesses within the business scope of CESI IECQ HSPM (see Appendix 2 for business scope) are open to all applicants, who can be the product manufacturers, suppliers, repairers and product maintenance providers.

同时，申请方应满足如下条件：

The applicant shall also meet the requirements as listed below:

1） 取得法人资格(或其组成部分)；

acquisition of legal personality (or part thereof)；

2） 取得相关法规规定的行政许可(适用时)；

obtaining administrative licenses as required by relevant laws and regulations (if applicable);

3） 未被行政监管部门责令停业整顿；

not been ordered by the administrative supervision department to suspend business for rectification;

4） 未被列入国家企业信用信息公示系统和“信用中国”发布的严重违法失信名单。

not been included in the list of serious violations and the untrustworthy issued by the National Enterprise Credit Information Publicity System and "Credit China".

2.2 受审核方条件 for auditee

受审核方需为申请方，且需满足如下条件：

The auditee shall be the applicant and meet the following conditions:

a. 受审核方应具有明确的法律地位。如申请方为一法人实体的一部分，应有证据表明申请方能独立承担法律责任；

The auditee should have clear legal status. If the applicant is a part of a legal entity, there should be evidence to show that the applicant can bear the legal liability independently;

b. 遵守本认证规则的有关要求。

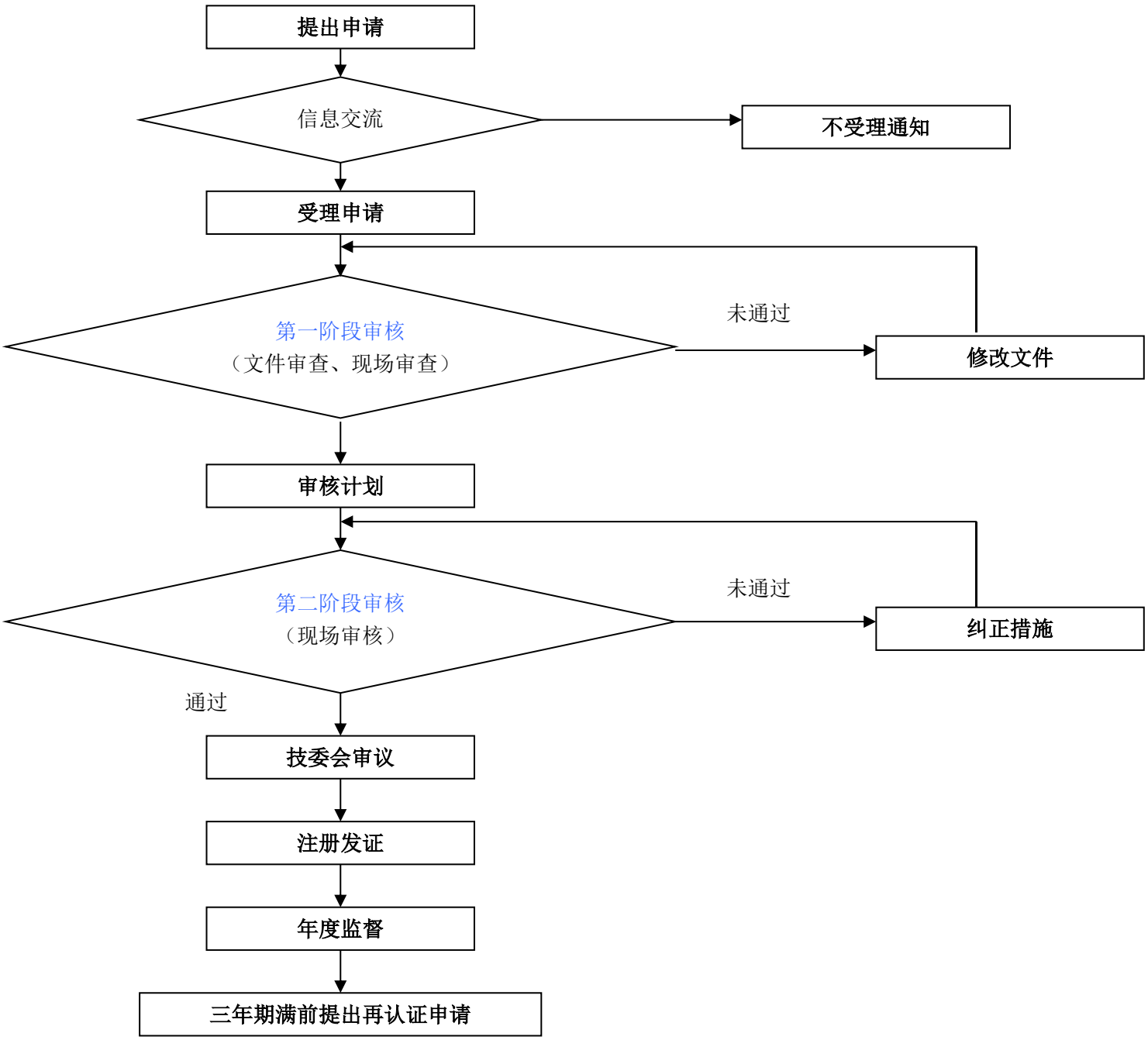
Comply with the relevant requirements of the Rules of Procedure.

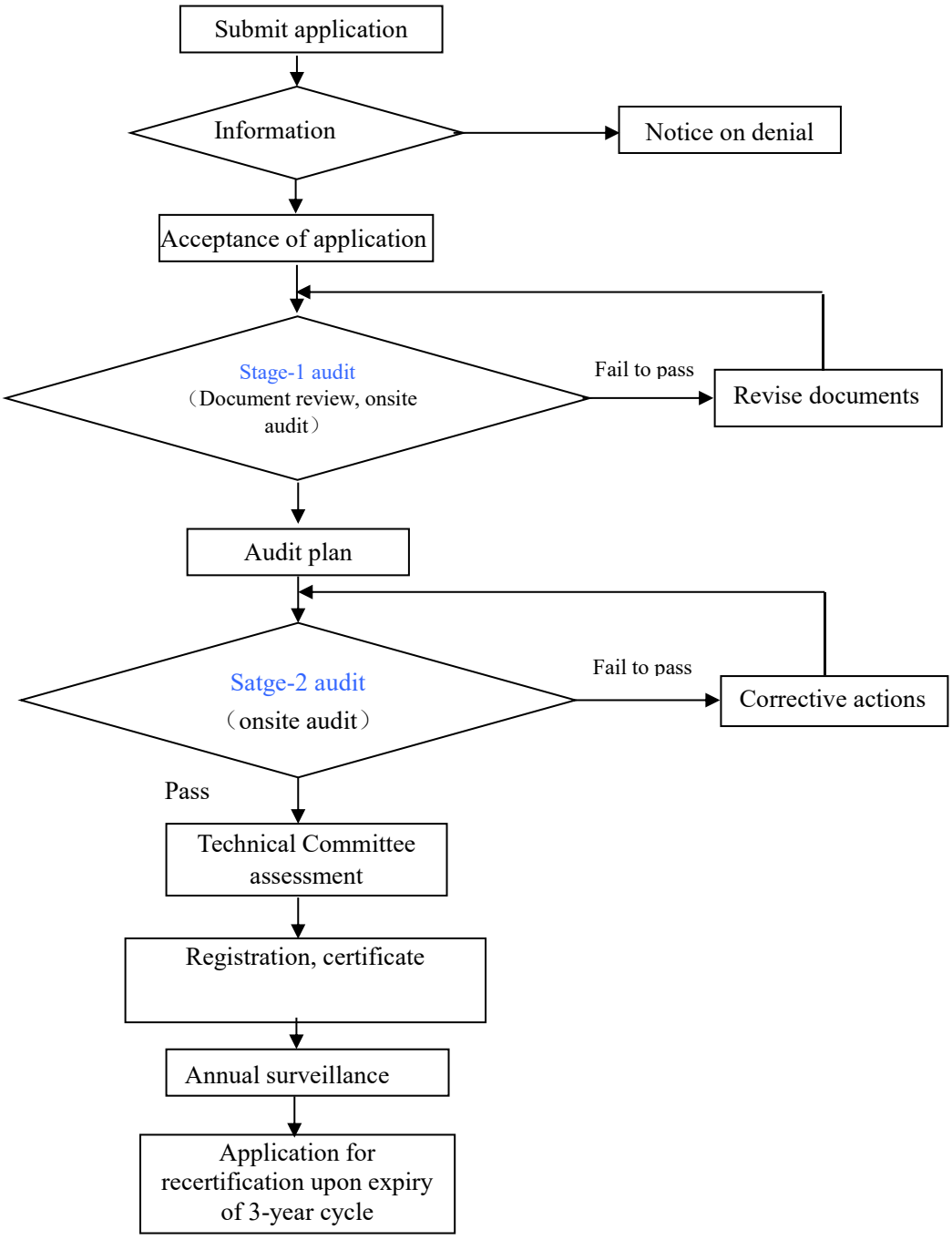
c.受审核方已经按本文件 1.3 条中的相应标准或申请方提出的其他标准建立了文件化的管理体系并运行 3 个月以上，且内部审核和管理评审涵盖所有操作过程。

The auditee has established a documented management system in accordance with the corresponding standards in article 1.3 of this document or other standards proposed by the applicant and has operated for more than 3 months, and also has implemented internal audit and management review covering all procedures.

3 认证要求 Requirements for Certification

3.1 管理体系认证程序流程 Management system certification process





3.2 认证申请 Application for Certification

3.2.1 申请方向赛西认证提出认证申请意向。

3.2.1 The applicant intends to apply for certification from CESI.

3. 2. 2 赛西认证与申请方沟通并办理“申请书”及商谈采用的认证标准或文件.

3.2.2 CESI communicates with the applicant and processes the "application form" and negotiates the certification standards or documents to be adopted

3. 2. 3 申请方应提交如下资料：Submission of the following materials by the applicant:

a）管理体系认证/注册申请表（QR21-MS-HSP-01），包括申请认证的生产经营或服务活动、申请认证的预期活动范围、开展活动地点的全部细节等；

Application form for management system certification / registration (qr21-ms-hsp-01), including the production and operation or service activities applied for certification, the expected scope of activities applied for certification, all details of the place where the activities are carried out, etc;

b）法律地位的证明文件（包括：营业执照、管理体系覆盖的活动所涉及法律法规要求的行政许可证明、资质证书、强制性认证证书等），有效的质量管理体系证书（如有）。

Certification documents of legal status (including business license, administrative license certificate required by laws and regulations, qualification certificate, compulsory certification certificate, etc.) and valid quality management system certificate (if any).

c）若管理体系覆盖多场所活动，应附每个场所的法律地位证明文件的复印件（适用时）；

If the management system covers multi venue activities, a copy of the legal status certificate of each venue shall be attached (when applicable)

d）与拟申请认证范围有关的证书或报告，如中国 RoHS 认证证书或检测报告、欧盟 RoHS 或其他国家/国际 HS 检测报告等；

Certificates or reports related to the certification scope to be applied for, such as China ROHS certification or test report, EU ROHS or other national / international HS test report, etc;

e）多场所活动、活动外包情况；Multi site activities and outsourcing

f）质量手册/管理手册、程序文件（至少包括管理评审程序、内部审核程序、纠正/改进实施程序）及必要的 HSPM 要求的文件；涵盖 ISO9001 或同等质量管理体系（如 ISO TS16949、AS9100、IRIS、TL9000 等）和/或 ISO/IEC 17025 认可的实验室出具的完整条款（需要时）的检测报告，文件可采用纸质或电子格式提供，电子格式应以常用的文件格式，如 Pdf 格式；

Quality manual / management manual, procedure document (at least including management

review procedure, internal audit procedure, corrective / improvement implementation procedure) and necessary HSPM Required documents; certification reports covering all provisions of ISO9001 or equivalent quality management system(for example,ISO TS16949、AS9100、IRIS、TL9000,etc) and / or ISO / IEC17025 (when required). The documents can be provided in paper or electronic format, and the electronic format shall be in common document format, such as PDF format

g）管理体系覆盖的产品或服务的质量标准清单；

Quality standard list of products or services covered by the management system

h）HS 总清单； HS total list

i）产品生产工艺流程图；Product production process flow chart

j）其他与认证审核有关的必要文件。Other necessary documents

3.2.4 赛西认证对认证申请进行评审，在确认申请认证有关的要求明确，且赛西认证有能力完成认证工作的前提下与申请方签订认证合同。

3.2.4 CESI reviews the certification application and signs a certification contract with the applicant on the premise that the requirements related to the certification application are clear and Saixi Certification has the ability to complete the certification work.

3.2.5 赛西认证在受理认证申请时，还将与申请方就体系覆盖产品、认证范围及“认证合同”等有关具体事宜进行协商。

3.2.5 When CESI accepts certification applications, it will also negotiate with the applicant on specific matters related to the products covered by the system, the scope of certification, and the "certification contract"

3.2.6 认证费用应由申请方向赛西认证直接支付，不得通过第三方支付。特殊情况下，可以接受申请方的上级单位（如申请方所属的集团公司、 事业单位、社会团体或机关）或下级单位向赛西认证支付认证费用。

3.2.6 The certification fee should be paid directly by the applicant to Saixi Certification and cannot be paid through a third party. In special circumstances, it is acceptable for the applicant's superior unit (such as the applicant's affiliated group company, institution, social organization or agency) or subordinate unit to pay certification fees to Saixi Certification.

3.3 审核方案策划及审核准备 Audit programing and audit preparation

3.3.1 审核方案 Audit Programme

HSPM 初次认证审核分为第一阶段审核和第二阶段审核。两个阶段审核时间间隔最短不应少于 5 日，最长不应超过 6 个月。如需要更长的时间间隔，应重新实施第一阶段审核。初次认证的审核方案包括两阶段初次认证审核、获证后的监督审核和认证到期前的再认证审核。再认证的审核方案包括再认证审核、获证后的监督审核和认证到期前的再认证审核。

Initial HSPM certification audit consists of Stage 1 Audit and Stage 2 Audit. The interval between the two audit stages shall be no less than 5 calendar days and no more than six months. Where a longer interval is required, Stage 1 Audit shall be repeated. The audit programme for initial certification covers two-stage initial certification audit, surveillance audit after certification approval and recertification audit prior to certificate expiry. The audit programme for recertification includes recertification audit, post-certification surveillance audit and subsequent recertification audit before certificate expiration.

3.3.2 审核时间 Audit Duration

审核时间包括现场的审核时间以及在现场审核以外实施策划、文件审核和编写审核报告等活动的时间。审核时间以人日计，1 人日为 8 小时。如果受审核方工作日的实际工作时间不足 8 小时，则需延长现场审核天数以满足审核时间要求。

初次、再认证和监督现场审核人日按照 IECQ 03-5 附录 A 执行（见附录 5），每次审核的现场审核时间确定过程应形成记录。

Audit duration covers on-site audit time and the time spent on off-site activities including audit planning, document review and audit report preparation. Audit duration is calculated in audit man-days, with one man-day equivalent to eight working hours. Where the actual daily working hours of the auditee are less than eight hours, the number of on-site audit days shall be extended to meet the required audit duration.

The on-site audit man-days for initial certification, recertification and surveillance audits shall be implemented in accordance with Appendix A of IECQ 03-5 (see Annex 5). The determination process of on-site audit duration for each audit shall be documented.

3.3.3 多场所 Multi-site

对于申请范围中覆盖的所有场所均应通过现场审核进行评估，**不能抽样，包括初审、再认证和监督审核。**应按每个场所的人数计算现场审核时间，每次审核的审核时间确定过程应形成记录，尤其是减少审核时间的理由，减少的审核时间不得超过附录 5 所规定的审核时间的 30%，如果审核人日计算后结果包括小数，宜将其调整为最接近的半人日数。

All venues covered in the application scope should be evaluated through on-site audits, and sampling is not allowed, including initial review, re certification, and supervisory audits.. The determination process of audit duration for each audit shall be documented, particularly the justifications for any audit time reduction. Reduced audit duration shall not exceed 30% of the audit duration specified in Annex 5. Where the calculated audit man-days result in a fractional figure, it is recommended to round to the nearest half man-day.

3.3.4 组建审核组 Establishment of Audit Team

赛西认证审核业务部门根据实现审核目的所需的能力和公正性要求组建审核组，至少 1 名实施第一阶段审核的审核员应参加第二阶段审核，每个审核组应满足如下条件：

(1) 包括至少 1 名与受审核方所属认证业务范围相匹配的专业人员（专业领域审核员或技术专家）。非专业审核人员，不得实施专业过程的审核任务；

(2) 包括至少 1 名赛西认证的专职审核员，该专职审核员全程参与审核过程；

(3) 开展认证审核的所有审核员，除应取得国家承认的质量管理体系注册审核员资格外，还应通过 IECQ 培训合格，取得机构评定的有害物质过程管理体系审核员资格；

(4) 必要时，审核组可配备技术专家，为审核组提供技术支持，技术专家不作为审核员实施审核，其审核时长不计入审核时间；

(5) 审核组如有实习审核员，需在正式审核员的指导下参加审核，不得独自开展审核，其审核时长不计入审核时间。

The audit department of CESI Certification shall form the audit team in accordance with competence and impartiality requirements needed to achieve audit objectives. At least one auditor conducting Stage 1 Audit shall participate in Stage 2 Audit. Each audit team shall satisfy the following requirements:

(1) Include no less than one specialist matching the auditee's certification scope (field auditor or technical expert). Non-specialist auditors shall not conduct audit activities for specialized processes.

(2) Include at least one full-time auditor of CESI Certification who shall take part in the whole audit process.

(3) All auditors performing certification audits shall hold nationally recognized registered auditor qualification for quality management system, pass IECQ training and obtain HSPM auditor qualification assessed by the certification body.

(4) Where necessary, technical experts may be assigned to the audit team to provide technical support. Technical experts shall not act as auditors, and their working hours shall not be counted towards audit duration.

(5) Where trainee auditors are assigned to the team, they shall participate in audits under supervision of qualified auditors and are prohibited from independent auditing; their working hours shall not be included in audit duration.

3.3.5 审核计划 Audit Plan

现场审核应安排在受审核方的生产或服务处于正常运行时进行。

审核组根据申请方的有害物质过程管理体系的特点制定审核计划，并将审核计划在现场审核前提交受审核方确认，受审核方如有异议可以提出，由赛西认证和受审核方协商调整后实施。

On-site audit shall be arranged while the auditee's production or service is in normal operation.

The audit team shall prepare the audit plan based on the characteristics of the applicant's HSPM system and submit it to the auditee for confirmation prior to on-site audit. Should the auditee raise objections, the plan shall be implemented after adjustment through consultation between CESI Certification and the auditee.

3.4 实施审核 Conduct of Audit

3.4.1 认证审核需在受审核方的现场实施，包括初次认证审核以及认证周期内的每年度的监督审核、再认证审核和特殊审核。

Certification audits shall be carried out on the auditee's premises, covering initial certification audit, annual surveillance audit, recertification audit and special audit within the certification cycle.

3.4.2 审核组会同受审核方召开首、末次会议，受审核方的最高管理者、相关职能部门负责人应参加首、末次会议。受审核方的最高管理者不能参加首、末次会议的，应由获得书面授权的其他高级管理层成员参会。

The audit team shall hold opening and closing meetings together with the auditee. The auditee's top management and relevant functional department heads shall attend such meetings. If the top management is unavailable, another senior management member with written authorization shall be present.

3.4.3 审核组通过面对面访谈等形式，对受审核方的最高管理者在有害物质过程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，未亲自参与并推动有害物质过程管理体系实施的，认证审核应不予通过。

The audit team shall focus on verifying the top management's leadership in the HSPM system via face-to-face interviews and retain supporting evidence including on-site photos/audio-video records and audit notes. The certification audit shall result in non-conformity for certification approval where the top management is unfamiliar with the organization's policies and objectives and fails to personally participate in and promote the implementation of the HSPM system.

3.4.4 发生下列情况的，审核组应向赛西认证报告后终止审核：

1) 认证委托人对审核活动不予配合，审核活动无法进行；
2) 认证委托人的最高管理者或其授权的高级管理层成员，缺席首次会议或末次会议的；
3) 认证委托人实际情况与申请材料有重大不一致；
4) 其他导致审核程序无法完成的情况。

The audit team shall terminate the audit after reporting to CESI Certification in the following circumstances:

1) The certification applicant refuses to cooperate with audit activities, rendering the audit unfeasible;
2) The top management of the certification applicant or its authorized senior management member is absent from the opening or closing meeting;
3) Material discrepancies exist between the applicant's actual status and application documents;
4) Other conditions preventing completion of audit procedures.

3.5 初次认证审核 Initial Certification Audit

3.5.1 第一阶段审核 Audit for Stage 1

第一阶段审核以文件审核为主，为了更好地评价申请方管理体系的适宜性，第一阶段审核在申请方的现场进行。第一阶段审核包括以下内容：

In order to better evaluate the suitability of the management system of the applicant, the stage 1 audit is conducted on the site of the applicant. The stage 1 audit includes the following contents:

a. 审核申请方的实际情况与有害物质过程管理体系成文信息描述的一致性，特别是体系成文信息中描述的产品和服务、部门设置和职责与权限、生产或服务过程等是否与申请方的实际情况相一致；

Reviewing the consistency between the actual situation of the applicant and the written information description of the hazardous substances process management system, especially whether the products and services, department settings and responsibilities and authority, production or service process described in the written information of the system are consistent with the actual situation of the applicant.

b. 评价申请方的运作场所和现场的具体情况，确定第二阶段审核的准备情况；与申请方商定二阶段审核细节及重要审核点；

Evaluating the specific situation of the applicant's operation site and site, determine the preparation for the second stage audit, and negotiate with the applicant on the details

and important audit points of the second stage audit;

c. 审查申请方理解和实施标准要求的情况，特别是对管理体系的关键绩效或重要的因素、过程、目标和运作的识别情况；

Reviewing the applicant's understanding and implementation of the standard requirements, especially the identification of key performance or important factors, processes, objectives and operations of the management system;

d. 收集关于申请方的管理体系覆盖的活动内容和范围、过程和场所、体系范围内有效人数的必要信息，以及相应领域法律法规及强制性标准的遵守情况；

Collecting the necessary information about the activity content and scope, process and place covered by the applicant's management system, the number of effective people within the system, and the compliance with laws, regulations and mandatory standards in corresponding fields;

e. 评价申请方是否策划和实施了内部审核与管理评审，确认管理体系是否已运行并且超过 3 个月以及管理体系的实施程度能否证明客户已为第二阶段审核做好准备。对管理体系成文信息不符合现场实际、相关体系运行尚未超过 3 个月或者无法证明超过 3 个月的，以及其他不具备二阶段审核条件的，不应实施二阶段审核；

Evaluate whether the applicant has planned and implemented the internal audit and management review, confirm whether the management system has been running for more than 3 months, and whether the implementation degree of the management system can prove that the customer is ready for the second stage audit. If the written information of the management system does not conform to the actual situation on site, the relevant system has not operated for more than 3 months or cannot be proved for more than 3 months, and other conditions for two-stage audit are not met, the two-stage audit shall not be implemented;

第一阶段审核发现会以文件方式并告知申请方，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。

The findings on the stage 1 audit will be documented and communicated to the applicant, including the identification of any concerns that may be judged as non-compliance in the stage 2 audit.

3.5.2 第一阶段文件审查 Document Review for Stage 1

赛西认证在收到申请方的体系文件及相关资料后及时安排审核组（长）对提交的文件进行审核，以确认其是否符合相关管理体系认证标准及相关法律、法规的要求，并对涉及删减的合理性做出初步评价。若提交的文件不符合要求，赛西认证会将问题告知申请方，并提出文件整改要求。受审核应按规定时间要求完成文件修改工作，并将修改后的文件提交赛西认证。对于申请方的其他相关体系文件可在第一阶段现场进一步审核。

After receiving the system documents and relevant materials from the applicant, CESI Certification timely arranges the audit team (leader) to audit the submitted documents to confirm whether they meet the requirements of relevant management system certification standards and relevant laws and regulations, and makes a preliminary evaluation on the rationality of deletion. If the submitted documents do not meet the requirements, CESI Certification will inform the applicant of the problems and put forward the document rectification requirements. The auditee shall complete the document modification within the specified time and submit the modified document to CESI for certification. Other relevant system documents of the applicant can be further reviewed in the first stage

3.5.3 第一阶段现场审核程序 On-site audit process for Stage 1

1. 现场审核开始时，首先召开首次会议，申请方最高领导层及其体系覆盖范围部门领导应参加会议。审核组在首次会议上向申请方说明审核目的、审核准则、审核覆盖范围和审核方法、明确受限制区域，确认审核计划，同时将可能引起审核中止的条件告知申请方。如双方有不同意见，应协商解决。

   The first meeting shall be held at the beginning of the on-site audit, and the top leadership of the applicant and the department leaders covered by the system shall attend the meeting. At the first meeting, the audit team explained the audit purpose, audit criteria, audit coverage and audit method to the applicant, defined the restricted areas, confirmed the audit plan, and informed the applicant of the conditions that may cause the audit suspension. If there are different opinions between the two parties, they shall be settled through negotiation.
2. 审核组根据审核计划及事先编制的审核核查单，采用会晤、访问、查阅文件记录、现

场观察等方法，对申请方的管理体系进行审核，取得客观证据，并记录审核结果。

According to the audit plan and the audit checklist prepared in advance, the audit team conducts audit on the management system of the applicant by means of meeting, visiting, consulting documents and records, and on-site observation, so as to obtain objective evidence and record the audit results.

3. 在审核期间，申请方应予协助、配合，并保证：

During the examination, the applicant shall provide assistance, cooperation and guarantee

a) 审核组能够查阅组织管理体系有关的文件资料和质量记录，包括原始记录；

The audit team can access the documents and quality records related to the organization's management system, including the original records;

b) 审核组能够进入与管理体系审核有关的场所；

The audit team can enter the places related to the management system audit

c) 审核组能够与管理体系有关的人员进行访谈；

The audit team can interview the personnel related to the management system

d) 提供审核组进行管理体系审核时所必需的设施和条件，并指定陪同人员。

Provide necessary facilities and conditions for the audit team to conduct management system audit, and assign accompanying personnel.

4. 现场审核结束前，审核组应与申请方负责人（或其代表）进行会晤，表明审核组第一阶段现场审核的意见。并召开末次会议，表明审核组现场审核的结论意见。

Before the completion of the on-site audit, the audit team shall meet with the person in charge of the applicant (or his representative) to indicate the audit team's opinions on the first stage of on-site audit, and the close meeting will be held to show the audit team on-site audit conclusions.

5. 在审核中发现的问题，由申请方采取纠正措施，并在第二阶段审核前完成，审核组在第二阶段审核前或第二阶段现场审核时予以验证。如果受审核方不能在 3 个月内完成第一阶段审核问题的整改，则在二阶段审核前需要对该企业再实施一次一阶段现场审核。

For the problems found in the audit, the applicant shall take corrective measures and complete them before the second stage audit, and the audit team shall verify them before the second stage audit or during the second stage on-site audit. If the auditee can not complete the rectification of the first stage audit problems within 3 months, it need to conduct a first

stage audit again before the second stage audit.

3.5.4 第二阶段审核 Stage 2 Audit

第二阶段审核的目的是评价组织管理体系的实施情况，包括有效性。第二阶段应在申请方现场进行，现场审核程序参见第一阶段要求（见 3.4.3）。第二阶段审核至少覆盖以下方面：

The purpose of stage 2 is to evaluate the implementation, including effectiveness, of the organization's management system. The stage 2 shall take place at the sites of the client.Refer to phase I requirements for site audit procedures (see 3.4.3). It shall include the auditing of at least the following:

a) 与适用的管理体系标准或其他规范性文件的所有要求的符合情况及证据；

b) 依据关键绩效目标和指标（与适用的管理体系标准或其他规范性文件的期望一致），对绩效进行的监视、测量、报告和评审；

c) 客户管理体系的能力以及在符合适用法律法规要求和合同要求方面的绩效；

d) 客户过程的运作控制；

e) 内部审核和管理评审；

f) 针对客户方针的管理职责；

a) information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;

b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);

c) the client’s management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements;

d) operational control of the client’ s processes;

e) internal auditing and management review;

f) management responsibility for the client’s policies.

二阶段审核组现场审核结论包括下列三种情况

The on-site audit conclusions of the two-stage audit team include the following three situations:

a. 不推荐注册； Registration not recommended

b. 推荐注册；Registration recommended

c. 待纠正措施实施并验证确认符合要求后推荐注册。

After the corrective measures are implemented and verified to meet the requirements, it is recommended to be registered.

申请方如对结论意见有不同看法，与审核组不能达成一致时，审核组应专门加以记录并报告赛西认证。

If the applicant has different opinions on the conclusion and can not reach an agreement with the audit team, the audit team shall make a special record and report to CESI Certification.

对于现场审核结论，组长有最后决定权。现场审核结论为“c”时，申请方应针对审核中发现的不符合项，按照赛西认证规定的时间要求制定并实施有效的纠正和纠正措施审核组进行验证。纠正措施的验证有书面验证，现场跟踪验证验证二种方式。由审核组根据申请方不符合项的性质和纠正措施的要求确定其中一种有效的验证方式。

The team leader has the final decision on the conclusion of the on-site audit. When the conclusion of the on-site audit is "C", the applicant shall formulate and implement effective corrective and corrective measures according to the time requirements specified by CESI Certification for the non-conforming items found in the audit, and the audit team shall verify them. There are two ways to verify the corrective measures: written verification and on-site tracking verification. The audit team shall determine one of the effective verification methods according to the nature of the applicant's non conformity and the requirements of corrective measures.

3.5.5 审核报告 Audit Report

1、审核报告按不同阶段、不同内容分为审核组末次会议的“口头报告”、现场出具的“不符合项报告”、最终的书面“审核报告”。

The audit report is sorted into the "oral report" of the final meeting of the audit team, the "non-conformance report" issued on the spot, and the final written "audit report" according to different stages and different contents.

2、离开现场之前，审核组在末次会上以口头方式做出关于受审核方的管理体系是否符合认证标准要求的说明，并使受审核方有机会对审核发现及其依据提出质疑，并将审核

中所发现的不符以不符合项的形式提供给受审核方，明确纠正及纠正措施要求。

Before leaving the site, the audit team will make an oral statement on whether the auditee's management system meets the requirements of the certification standard at the final meeting, and give the auditee the opportunity to question the audit findings and their basis, and provide the auditee with the non-conformities found in the audit in the form of non-conformities, and clarify the corrective and corrective action requirements.

3、审核组长完成不符合项验证后提交书面审核报告，经赛西认证批准后发给受审核方。

After completing the verification of non-conformities, the audit team leader will submit a written audit report, which is approved by CESI Certification and sent to the auditee.

4、 审核报告至少应包括或引用以下内容：

The audit report should at least include or reference the following content:

1) 认证机构名称；Name of certification body
2) 受审核方的名称和地址及其代表；The name and address of the auditee and DMR;
3) 审核类型（如初次认证、监督、再认证或其他类型）；Audit type (such as initial certification, supervision, re certification, or other types)
4) 结合、联合或一体化审核情况（适用时）；Combined, joint or integrated audit situation (when applicable)
5) 审核准则；Audit criteria;
6) 依据的法律法规指令或客户要求；According to legal and regulatory directives or customer requirements;
7) 审核目的及其是否达到的确认；Confirmation of the audit purpose and whether it has been achieved;
8) 审核范围，特别是标识出所审核的组织、职能单元或过程，以及审核时间；Audit scope, especially identifying the organization, functional unit or process being audited, as well as the audit time
9) 任何偏离审核计划的情况及其理由； Any deviation from the audit plan and its reasons;
10) 任何影响审核方案的重要事项； Any important matters that affect the audit plan;
11) 审核组成员姓名、身份及任何与审核组同行的人员； The names and identities of the members of the audit team, as well as any personnel accompanying the audit team;

12) 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；Implementation date and location of audit activities (on-site or off-site, permanent or temporary locations)

13) 应描述与审核类型要求一致的审核发现、审核证据（或审核证据的引用）以及审核结论，重点反映受审核方有害物质引入过程识别与控制情况、内部审核和管理评审的过程、所取得的有害物质引入过程管理绩效，受审核方实际情况与其预期环境目标之间存在的差距和改进机会；

13) The audit findings, audit evidence (or references to audit evidence), and audit conclusions that are consistent with the requirements of the audit type should be described, with a focus on reflecting the identification and control of the hazardous substance introduction process by the auditee, the internal audit and management review process, the management performance of the hazardous substance introduction process achieved, the gaps and improvement opportunities between the auditee's actual situation and its expected environmental goals;

14) 与有害物质引入相关的行政处罚和受审核方发生的突发事件，及相关原因分析和整改措施的有效性（适用时）；Administrative penalties related to the introduction of harmful substances and emergencies that occur in the audited party, as well as the effectiveness of related cause analysis and corrective measures (when applicable)

15) 上次审核后发生的影响受审核方有害物质过程管理体系的重要变更（适用时）；Significant changes to the hazardous substance process management system of the audited party that occurred after the last audit (when applicable)

16) 获证组织对认证证书和认证标志使用的控制情况（适用时）；The control situation of certified organizations over the use of certification certificates and certification marks (when applicable)

17) 对以前不符合采取的纠正措施有效性的验证情况（适用时）；Verification of the effectiveness of corrective measures taken for previous non-compliance (when applicable)

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

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

20) 审核组的推荐意见以及对申请的认证范围适宜性的结论。Recommendations from the review team and conclusions on the suitability of the certification scope applied

3.5.6 不符合纠正及验证 Correction and Verification of Nonconformities

针对审核过程中发现的问题，审核组开具不符合项或观察项，要求受审核方对每一不符合项或观察项加以确认，并告知受审核方完成纠正及纠正措施的日期及跟踪验证的方式。

In response to the problems found in the audit process, the audit team issues non-conformities or observations, requires the auditee to confirm each non-conformity or observation, and informs the auditee of the date of completion of the correction and corrective actions and the way of follow-up verification.

审核组长负责审查受审核方提交的不符合项的纠正和纠正措施，验证有效性，将验证结果告知受审核方。

The audit team leader is responsible for reviewing the correction and corrective actions for the non-conformities submitted by the auditee, verifying the validity, and informing the auditee of the verification results.

如果受审核方未能在规定时间内完成不符合的纠正和纠正措施，则不推荐受审核方通过认证/再认证或暂停其认证证书。

If the auditee fails to complete the corrective and corrective actions for non-conformity within the required timeframe, the auditee be certified/recertified will not be recommended or its certificate will be suspended.

对于审核中发现的观察项，下一次审核的审核组负责评审观察项的整改情况。

For the observation found in the audit, the audit team of the next audit is responsible for reviewing the rectification of the observation items.

不符合整改时限如下：

Time limits for nonconformity correction are specified as follows:

a. 初次认证审核：一般不符合在 1 个月内完成，严重不符合在 6 个月内完成；

Initial certification audit: Minor nonconformities shall be rectified within one month; major nonconformities within six months.

b. 监督审核：一般不符合在 1 个月内完成，严重不符合在 3 个月内完成；

Surveillance audit: Minor nonconformities shall be rectified within one month; major nonconformities within three months.

c. 再认证审核：一般不符合在 1 个月内完成，严重不符合在原证书到期前完成。

Recertification audit: Minor nonconformities shall be rectified within one month; major nonconformities shall be rectified prior to the expiry of the original certificate.

审核组长负责审查受审核方提交的不符合项的纠正和纠正措施，验证有效性，将验证结果告知受审核方。

The lead auditor shall review the corrections and corrective actions submitted by the auditee for nonconformities, verify their effectiveness and inform the auditee of verification results.

如果受审核方未能在规定时间内完成不符合的纠正和纠正措施，则不推荐受审核方通过认证/再认证或暂停其认证证书。

Where the auditee fails to complete corrections and corrective actions within the specified period, approval for certification/recertification shall not be recommended or the certification certificate shall be suspended accordingly.

对于审核中发现的观察项，下一次审核的审核组负责评审观察项的整改情况。

For observations identified during audit, the audit team of the subsequent audit shall review the rectification status of such observations.

3.6 认证决定及发证 Certification Decision and issuance of certificate

3.6.1 认证决定 Certification Decision

赛西认证在收到审核组提交的全套审核资料后，交赛西认证技术委员会进行审查（若存在不符合项，须由申请方完成纠正措施并由审核组长验证合格），进入审批注册发证程序，技委会审查将在 15 个工作日内完成。

After receiving the full set of audit materials submitted by the audit team, CESI Certification shall submit them to the technical committee for review (if there are non conformities, the applicant shall complete the corrective measures and the audit team leader shall verify them to be qualified), and enter into the approval, registration and certification process. The review of Technical Committee shall be completed within 15 working days.

获准认证/注册的申请方，应符合下列条件：

The applicant approved for certification / registration shall meet the following conditions:

a. 与赛西认证签有正式管理体系认证合同，满足申请方条件；（见本文件第 2 章）

Signed a formal management system certification contract with CESI Certification, meeting the requirements of the applicant;

b. 认证审核程序符合规定要求，上报资料完整、手续齐全；

Certification audit procedures meet the requirements of the provisions, reporting information is complete and procedures are complete;

c. 文件化的管理体系符合认证标准或其他引用文件的要求；

The documented management system meets the requirements of certification standards or other cited documents

d. 组织依照文件化的管理体系运行有效（特别要有充分的证据表明组织对管理评审和内部审核进行了安排和有效地实施，并得以保持），对赛西认证审核时提出的不符合项已按要求全部完成了纠正措施并经审核组验证符合要求。

The organization operates effectively according to the documented management system (in particular, there should be sufficient evidence to show that the organization has arranged and effectively implemented the management review and internal audit, and maintained them), and the corrective measures have been taken for all the non conformities raised during the CESI Certification audit as required, which have been verified by the audit team to meet the requirements.

申请方不能满足上述要求或者存在以下情况的，评定该申请方不符合认证要求，客户部以书面形式告知申请方并说明其未通过认证的原因。

a. 申请方的管理体系有重大缺陷，不符合认证依据标准的要求。

b. 对于有害物质过程管理体系，发现申请方存在重大质量安全问题或有其他与产品和服务质量相关严重违法违规行为。

If the applicant fails to meet the above requirements or has the following circumstances, the customer department shall inform the applicant in writing and explain the reasons for its failure to pass the certification.

a. The management system of the applicant has major defects and does not meet the requirements of the certification standards.

b. For the process management system of hazardous substances, it is found that the

applicant has major quality and safety problems or other serious violations related to the quality of products and services.

3.6.2 颁证 Certification Issuance

如果申请组织审查结果符合 IECQ 有害物质过程管理体系标准要求的，赛西认证将向申请方提供经批准的书面 SAR 审核报告，在 IECQ 在线证书系统进行注册登记，并向申请方提供打印签名的中英文认证证书，证书有效期为三年。

If the review result of the applicant complies with the requirements of IECQ HSPM standard, CESI Certification shall issue the approved written SAR audit report to the applicant, complete registration via the IECQ online certification system, and provide the printed and signed Chinese-English certification certificate valid for three years.

在 IECQ 官网上发布的 IECQ 合格证书，用以向社会各界证实认证合格组织符合 IECQ 有害物质过程管理体系标准的要求，同时为用户与获证组织建立合同关系提供选择指南。

IECQ certificates published on the official IECQ website serve to verify to all relevant parties that certified organizations satisfy the IECQ HSPM standard requirements and facilitate clients' selection when entering into contractual agreements with certified entities.

赛西认证利用各种机会向国内外用户介绍相关的管理体系认证合格组织，并接受国内外用户对有关情况的查询。

CESI Certification shall promote certified HSPM organizations to domestic and overseas clients through various channels and respond to relevant inquiries from clients worldwide.

3.7 保持认证 Maintenance certification

3.7.1 保持认证的条件 Conditions for maintaining certification

保持获准认证/注册组织管理体系持续有效，应符合下列条件：

To keep the management system of the approved certification / registration organization continuously effective, the following conditions shall be met:

a. 获证组织的法律地位、资质持续符合国家的最新要求，认证范围内的法律地位文件和资质持续有效；

The legal status and qualification of the certificated organization continue to meet the latest

national requirements, and the legal status documents and qualifications within the scope of certification continue to be valid;

b. 按赛西认证规定的周期和程序接受监督审核；

Acceptance the supervision and audit according to the cycle and procedure specified by CESI Certification;

c. 不存在可能影响 IECQ 认证的严重不符合项；

No outstanding significant nonconformities that can affect the IECQ certification;

d. 认证证书、认证标志和认可标识使用应符合 IECQ 以及赛西认证关于证书及标志使用要求的规定；

The use of certification certificate, certification mark and approval mark shall comply with the requirements of IECQ and CESI Certification on the use of certificate and mark;

e. 按规定要求及时向赛西认证报告管理体系的变更情况；

Timely report the change of management system to CESI Certification as required;

f. 按规定交纳监督审核费用。

Pay supervision and audit fees according to regulations.

3.7.2 监督审核频次 Frequency of surveillance audits

赛西认证将在认证合格证书三年有效期内定期对获证组织实施监督审核，以验证获证组织的管理体系是否持续满足管理体系标准的要求。

CESI Certification shall conduct periodic surveillance audits on certified organizations within the three-year validity period of certification certificates to verify the sustained compliance of their management systems with applicable standard requirements.

初次认证及再认证后的第一次监督审核在认证证书签发之日起 12 个月内进行。此后，监督审核间隔不超过 12 个月，且监督审核至少每个日历年（应进行再认证的年份除外）进行一次。如有特殊情况或在法律、法规要求下，将增加监督审核频次。每次监督前应确认组织质量管理体系持续有效后方能实施。当发生疫情、地震、洪水等特殊情况导致获证组织不能按期接受监督审核时，按照公司文件 IN-MS-HS-01《特殊事件时期的认证活动》的要求执行。

The first surveillance audit subsequent to initial certification or recertification shall be carried out within 12 months from the certificate issuance date. Subsequent surveillance audits

shall be arranged at intervals not exceeding 12 months, with a minimum of one surveillance audit per calendar year excluding the year when recertification is due. Surveillance frequency shall be increased upon special circumstances or statutory regulatory requirements. Prior to each surveillance audit, confirmation shall be obtained that the organization's management system remains effective before audit implementation. Where certified organizations cannot undergo scheduled surveillance audits due to exceptional events such as pandemic, earthquake or flood, the provisions specified in Company Document IN-MS-HS-01 "Certification Activities During Special Incidents" shall apply.

3.7.3 证书有效期内的情况通报 Notification within the validity period of the certificate

获证组织需指定一名管理者代表（DMR），负责与 IECQ 证书的要求相关的所有事项。指定的 DMR 应在技术和管理上都具有 IECQ 认证的能力，且为赛西认证所接受。组织有责任在 HSPM 体系认证范围内按 IECQ 和 CESI 要求使用证书和标志，且活动范围与认证范围一致，不会被滥用或歪曲。若发生滥用或虚假陈述，CESI 有权利暂停或撤回组织发生滥用或虚假陈述的认证证书。

The organization's Designated Management Representative (DMR) shall be acceptable to CESI as both technically and administratively competent for the purposes of the System. The organization has the responsibility to use the certificate and logo within the scope of HSPM system certification according to IECQ and CESI requirements, and the scope of activities is consistent with the scope of certification, and will not be abused or distorted. In case of abuse or misrepresentation, CESI has the right to suspend or withdraw the certification certificate of abuse or misrepresentation.

获证组织发生以下情况时，需及时联系赛西认证进行信息通报：

In case of the following situations, the certified organization shall contact CESI Certification in time for information notification:

a）组织搬迁；Organize relocation

b）组织被另一组织接管或收购，可能导致人员、管理和/或体系程序的变化；

The takeover or acquisition of an organization by another organization may result in changes in personnel, management and / or system procedures

c）组织的管代（DMR）改变，CESI 认为需要进行特别监督访问时；

When the management representative (DMR) of the organization changes and CESI considers that special supervision visit is necessary

d）CESI 对组织是否持续合规提出质疑时；

When CESI questions the continued compliance of the organization；

e）转换审核或暂停的恢复审核等。Transition audit or suspended resume audit, etc

f）客户及相关方有重大投诉；Major complaints from customers and related parties

g）生产、销售的产品或提供的服务被质量或市场监管部门认定不合格；The products produced or sold or the services provided are not qualified by the quality or market supervision department

h）发生重大质量事故；Major quality accidents

i）相关情况发生变更，包括：法律地位、生产经营状况、组织状态或所有权变更；取得的行政许可资格、强制性认证或其他资质证书变更；法定代表人、最高管理者变更；生产经营或服务的工作场所变更；联系方式变更；管理体系覆盖的活动范围变更；管理体系和重要过程的重大变更等；

Changes in relevant circumstances include: changes in legal status, production and operation status, organizational status or ownership; changes in administrative licensing qualification, compulsory certification or other qualification certificates obtained; changes in legal representative and top management; changes in production and operation or service workplaces; changes in contact information; changes in the scope of activities covered by the management system; changes in management system and key management personnel Major changes to the process, etc.

j）出现影响管理体系运行的其他重要情况（如管理体系标准变更或体系认证范围扩大或缩小等）等。

Other important situations affecting the operation of the management system (such as the change of management system standards or the expansion or reduction of the scope of system certification, etc.) occur.

获证组织通报时应填写《管理体系信息通报表》（见附录 4），并附上必要的资料或说明。一般情况下，应在更改/变动前通知赛西认证客户服务部，如发生上述 f)、g)、h)

条情况时，应在事故或问题发生后 48 小时内通知赛西认证客户服务部（特殊情况不超过 1 周，以电话方式通报的，应补填《管理体系信息通报表》），赛西认证根据情况决定是否进行现场调查，或实施管理体系复审，复审不受正常监督审核频次的限制。赛西认证将根据复审结果，做出换发证书或认证撤销的决定。

The certificated organization shall fill in the management system information notification form (see Appendix 4) and attach the necessary information or instructions. In general, the customer service department of CESI Certification shall be informed before the change / alteration. In case of the above situations f),g) and h), the customer service department of CESI certification shall be informed within 48 hours after the accident or problem occurs (in case of special circumstances, it shall be informed by telephone, and the management system information notification form shall be filled in). CESI Certification shall decide whether to carry out the current situation according to the situation Field investigation, or implementation of management system review, review is not limited by the normal supervision and audit frequency. According to the re examination results, the decision of renewal of certificate or revocation of certification will be made.

3.7.4 认证要求的变更 Change of certification requirements

当认证要求发生变化时，赛西认证将以书面或其他方式将其认证要求的任何变更通知获证组织，并对其是否符合新的要求予以验证。为确保实施这些要求，获证组织可能需要与赛西认证补充签署或修订认证合同。

When the certification requirements change, CESI will inform the certificated organization of any change in its certification requirements in writing or other ways, and verify whether it meets the new requirements. To ensure the implementation of these requirements, accredited organizations may need to sign additional or revised certification contracts with CESI.

3.7.5 认证范围的更新 Update of Certification Scope

3.7.5.1 更新认证范围的条件 Prerequisites for Certification Scope Update

当获证组织涉及认证范围的信息发生变化时，赛西认证将按照流程实施认证范围更新，具体情况如下：

CESI Certification shall proceed with certification scope update in accordance with

specified procedures when information relevant to a certified organization's certification scope is altered, including the following cases:

a. 组织名称发生变化，包括公司名称、地址名称；

Change of organization name, including corporate name and site address denomination;

b. 组织的活动场所、产品范围等发生变化；

Modification of operational sites or covered product scope;

c. 体系内覆盖人数发生变化等。

Variation in the number of personnel covered by the management system.

3.7.5.2 更新认证范围的程序 Procedures for Certification Scope Update

获证组织发生上述变化时，需向赛西认证提交“管理体系信息通报表”、“证书填写单”以及必要的书面证明材料，审核业务部门按照认证审核流程，组织实施合同评审及安排人员实施相应的审核。需要时，获证组织与赛西认证签署或修订认证合同，并按照规定补充缴纳认证费用。审核完成后，所有资料提交技委会审定，赛西认证将在 IECQ 在线证书系统进行变更登记，并为获证组织更换证书。

Where the above changes occur to the certified organization, the organization shall submit the Management System Information Notification Form, Certificate Filling Form and necessary written supporting documents to CESI Certification. The audit department shall conduct contract review and arrange personnel to carry out corresponding audits in accordance with the certification audit procedures. When necessary, the certified organization and CESI Certification shall sign or revise the certification contract and pay supplementary certification fees as required. Upon completion of the audit, all documents shall be submitted to the Technical Committee for review and approval. CESI Certification shall complete change registration in the IECQ online certification system and issue a new certificate to the certified organization.

3.7.6 特殊审核 Special Audit

3.7.6.1 扩大认证范围 Scope Expansion of Certification

扩大认证范围包括认证依据标准的扩大，也可包括过程（活动）的增加、产品范围、生产规模（场地、区域）的扩大。

Certification scope expansion includes extension of applicable certification standards, as well as addition of processes (activities), expansion of product coverage and production scale (sites and premises).

3.7.6.1.1 扩大认证范围的条件 Preconditions for Scope Expansion

a. 获证组织申请扩大认证范围应在其法律地位文件和资质规定的范围内；

The certified organization's application for scope expansion shall be within the scope defined by its legal qualification documents;

b. 获证组织的管理体系应覆盖申请扩大的认证范围，并符合认证标准要求；

The organization's management system shall cover the newly applied scope and satisfy relevant certification standard requirements;

c. 至少近一年来，获证组织在申请扩大认证范围内未发生重大事故和国家检查不合格。

No serious incidents or non-conformities against official governmental inspections have occurred within the applied expansion scope in the most recent one year.

3.7.6.1.2 扩大认证范围的程序 Procedures for Certification Scope Expansion

a. 获证组织需向赛西认证正式提交扩大认证范围的书面申请书和相关附件；

The certified organization shall formally submit a written application for certification scope expansion together with relevant attachments to CESI Certification.

b. 赛西认证对获证组织的扩项申请进行评审，适用时获证组织应与赛西认证补充签署或修订认证合同，并按照规定补充缴纳认证费用；

CESI Certification shall review the expansion application. Where applicable, the certified organization shall sign supplementary agreements or amend the certification contract with CESI Certification and pay supplementary certification fees in accordance with relevant provisions.

c. 获证组织申请扩大认证范围所涉及的 HSPM 管理体系文件经审查已符合认证标准；

The HSPM management system documents pertaining to the applied expanded scope shall be reviewed and confirmed to comply with certification standards.

d. 对获证组织申请扩大认证范围，赛西认证结合监督审核或按协议要求实施认证程序后，将在 IECQ 在线证书系统进行变更登记，并为获证组织更换证书。

After completing relevant certification procedures either incorporated into surveillance audit or per agreed terms, CESI Certification shall complete change registration in the IECQ online certification system and issue a revised certificate to the certified organization.

3.7.6.2 缩小认证范围 Reduction of Certification Scope

3.7.6.2.1 缩小认证范围的条件 Preconditions for Certification Scope Reduction

如果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，赛西认证将按照认证标准的要求缩小其认证范围，以排除不满足要求的部分，具体情况如下：

Where part of an organization's certification scope persistently or seriously fails to satisfy certification requirements, CESI Certification shall narrow down the certification scope per applicable certification standards to exclude non-compliant portions, as specified below:

a. 获证组织的认证范围内部分产品范围、现场、区域、生产线、主要过程等不再继续符合认证标准和其他附加要求；

Certain products, sites, locations, production lines or key processes within the certified scope no longer comply with certification standards and supplementary requirements;

b. 获证组织的认证范围内部分产品范围、现场、区域、生产线、主要过程等不愿再继续保持认证资格的。

The certified organization intends to withdraw certification qualification for certain products, sites, locations, production lines or key processes covered in the existing certification scope.

3.7.6.2.2 缩小认证范围的程序 Procedures for Certification Scope Reduction

a. 获证组织向赛西认证正式提交缩小认证范围的书面申请书，并提供理由和证据；

The certified organization shall formally submit a written application for certification scope reduction to CESI Certification with supporting reasons and evidence attached.

b. 需要时，获证组织与赛西认证修订认证合同；

The certification contract shall be amended by both parties where necessary.

c. 经赛西认证技术委会审定，认为获证组织在申请缩小认证范围不会对仍需保持的认证范围产生影响，报公司总经理批准后，IECQ 在线证书系统进行变更登记，并为获证组织更换证书，认证证书的注册号和有效期保持不变。

Upon review and approval by the Technical Committee of CESI Certification confirming the scope reduction will not adversely affect the remaining certified scope, and after approval by the Company General Manager, CESI Certification shall complete change registration on the

IECQ online certification system and issue a revised certificate with unchanged certificate registration number and validity period.

3.7.6.3 提前较短时间通知的审核 Short-notice Audit

为调查投诉、体系相关事故、对变更做出回应或对被暂停的客户进行追踪等情形时，赛西可能需要提前较短时间通知获证组织或不通知获证组织就对其进行审核。

CESI Certification may conduct audits with short advance notice or without prior notice to the certified organization for purposes including complaint investigation, system-related incident follow-up, response to organizational changes, or follow-up verification for suspended certified clients.

3.8 再认证要求 Re-certification requirements

认证合格证书有效期满前三个月，获证组织想要继续持有认证证书的，可提出再认证申请。赛西认证将依据审核方案实施再认证审核，再认证的程序与初次审核时的程序相同。

Renewal application may be submitted by the certified organization three months prior to certificate expiry if it intends to maintain the certification. CESI Certification shall conduct recertification audit in accordance with the audit programme following identical procedures applicable to initial certification audit.

再认证审核在获证组织现场进行，并应在认证证书到期前完成。再认证审核的内容至少包括：

Recertification audit shall be carried out on-site and completed before the expiration date of the certification certificate. Recertification audit shall at least cover the following items:

1） 结合其内部环境和外部环境的变化情况，确认获证组织有害物质过程管理体系有效性及认证范围的持续相关性和适宜性；

Verify the effectiveness of the auditee’s HSPM system as well as the continued relevance and suitability of certification scope against changes in internal and external context;

2） 有害物质过程管理体系绩效持续改进的证实；

Evidence of continual improvement on HSPM system performance;

3） 有害物质过程管理体系在实现获证组织目标和有害物质过程管理体系预期结果方面的有效性。

Effectiveness of the HSPM system in achieving the organization’s objectives and intended

results of HSPM.

经全面再认证确认获证组织 HSPM 体系持续满足管理体系标准要求，赛西认证将向获证组织提供经批准的书面 SAR 审核报告，在 IECQ 在线证书系统进行再注册登记，并向获证组织更换证书。

Where comprehensive recertification assessment confirms the certified organization's HSPM system continuously complies with applicable management system standards, CESI Certification shall issue approved written SAR audit report, complete recertification registration on the IECQ online certification system and issue a new certificate to the certified organization.

（注：再认证审核的认证决定宜在上一个认证周期认证证书到期前完成，最迟应在证书到期之日起 6 个月内完成，如果在当前认证证书终止日期前，未能完成再认证审核或对严重不符合实施的纠正和纠正措施未能进行验证，则不应予以再认证，也不延长原认证证书的有效期）

(Note: The recertification decision should be finalized prior to the expiry of the existing certification certificate, and shall be completed no later than six months after the certificate expiration date. If recertification audit cannot be finished or corrective actions for major nonconformities fail to be verified before the current certificate expires, recertification shall not be granted and the validity of the original certificate shall not be extended.)

3.9 认证转换 Certification transfer

3.9.1 转换申请 Application

若 IECQ HSPM 证书持有人将其 IECQ HSPM 证书从其他 IECQ 认证机构转移到 CESI 时，则应执行以下规定：

1) 申请人应提交正式申请，并由客户服务部收集汇总申请组织的相关资料。
2) 在接受转换前，客户服务部需了解拟转换证书的有效性。已被暂停的或正在接受暂停处理的认证不能接受转换。
3) 如果认证是由一个已停止运作或认可资格已被终止、暂停或撤销的认证机构颁发的，CESI按新客户对待。

When IECQ HSPMcertificate holders transfer their IECQ HSPM certificates from other IECQ certification bodies to CESI Certification, the following provisions shall apply:

1) The applicant should submit a formal application, and the customer service department will collect and summarize the relevant information of the applicant organization.

2) Before accepting the transfer, the customer service department needs to know the validity of the certificate to be transferred. Certifications that have been suspended or are in the process of being suspended cannot be converted.

3 ） If certification is issued by a certification body that has ceased operations or whose accreditation has been terminated, suspended or withdrawn, CESI treats it as a new client.

3.9.2 转换评审 Review

3.9.2.1 客户服务部应收集组织最新的 IECQ HSPM 审核报告，并交由审查一部，审查一部指定专人对申请转换的认证进行技术审查，确保没有未完成的不符合项。

审查采用文件审查或现场访问等。

The customer service department should collect the latest IECQ HSPM audit report of the organization and submit it to the audit department. The audit department designates a person to conduct a technical review to ensure that there are no unfinished non-conformance.

Review can be done by document review or site visit etc.

3.9.2.2 若组织提供的最近一次审核报告的技术审查能够证实没有未完成的不符合项，则不需要进行现场访问，在技术委员会实施认证决定后，按照报告中列出的活动和地点的范围颁发新的证书，新证书与先前签发证书的下次监督日期和有效期保持一致，初次获证日期、证书到期日期与以前的 IECQ HSPM 认证相一致。若审核报告的技术审查发现了不符合项，应在签发新证书之前关闭。审查一部需根据不符合项的严重程度指定有能力的人员对组织实施现场访问。

If the technical review of the most recent audit report provided by the organization can confirm that there are no unfinished non-conformance, then an on-site visit is not required, and after the technical committee has implemented the certification decision, a new one will be issued in accordance with the scope of activities and locations listed in the report. The new certificate shall be consistent with the next supervision date and validity period of the previously issued certificate, and the date of initial certification and the expiry date of the certificate shall be consistent with the previous IECQ HSPM certification. If the technical review of the audit report

finds non-conformance, it should be closed before issuing a new certificate. According to the severity of the non-conformity, a competent person shall be designated to conduct an on-site visit to the organization.

3.9.3 转换认证 Certification

转换完成并签发了新证书后，组织应正式通知原 IECQ 认证机构无需年度监督并注销其证书。原 IECQ HSPM 证书发证机构应立即向 IECQ 秘书处发送注销申请，包括相关完整细节和生效日期。

实施转换后的新证书有效期从原证书颁发日期算起。转换之后的监督方案基于以前的认证方案，除非公司根据评审结果对该组织实施了初次审核或再认证审核。

After the conversion is complete and a new certificate is issued, the organization shall formally notify the original IECQ certification body that annual surveillance is not required and cancel its certificate. The original IECQ certification body should immediately send an application for cancellation to the IECQ Secretariat, including the relevant full details and effective date.

The validity period of the new certificate after the implementation of the conversion is calculated from the date of issuance of the original certificate. The post-transition surveillance program is based on the previous certification program, unless the company conducts an initial or recertification audit of the organization based on the results of the review.

4 IECQ HSPM 管理体系认证合格标志、认证证书和认可标识的使用 Use of IECQ HSPM management system certification mark, certification certificate and Accreditation Mark

4.1 标识的说明 Description of identification

4.1.1 赛西认证的管理体系认证合格标志（以下简称认证标志）是经国家工商行政管理部

门登记的受法律保护的标志，由赛西认证随同管理体系认证合格证书一起颁发给获证组织合法使用，未经赛西认证允许，获证组织不得将此标志转让给其他组织或个人使用。

The management system certification mark of CESI Certification (hereinafter referred to as the certification mark) is a legally protected mark registered by the State Administration for Industry and commerce. CESI Certification is issued to the certificated organization together with the management system certification certificate for legal use. Without the permission of CESI certification, the certificated organization shall not transfer this mark to other organizations or individuals for use.

4.1.2 IECQ 认证标志是 IECQ 颁发的、供获任命的认证机构使用的、表示其认证资格的图形标识。

Certification Mark is a graphic mark issued by IECQ, which is used by the approved institutions and represents their certification qualification.

4.2 IECQ HSPM 认证证书 IECQ HSPM Certification certificate

4.2.1 IECQ 认证标志的证书 IECQ HSPM Certificate with the IECQ certfication mark

4.2.1.1 IECQ 认证标志的 HSPM 证书最终版本以在 IECQ 网站在线证书系统上生成的英语版本证书为准。如有需要，赛西认证可制作中文版，附在英文版后，共同提交给获证客户。

The final version of IECQ HSPM certificate with the IECQ certification mark is subject to the English version certificate generated on the online certificate system of IECQ website. If necessary, CESI Certification can provide a Chinese version,attach to the English version,and jointly submit it to the certificated customer.

4.2.1.2 按照 IECQ HSPM 认证规则的规定，证书的有效期为三年。

According to IECQ HSPM certification rules, the certificate is valid for three years.

4.2.1.3 认证证书内容包括：The contents of the certificate include

a) 发证日期；Date of issue;

b) 到期日；Date of expiry;

c) 最初发证日期（注意将与第一次发布的发证日期相同）；Original issue date (noting that it will be the same as the Issue date for the first issue)

d) 签发和状态；Indication of the issue & status;

e) 清晰明确的对活动范围的详细描述；Clear unambiguous detailed description of the scope of activity;

f) 获证组织的名称和地址；Name and address of the certificated organization;

g) IECQ 认证证书编号；IECQ CB file reference number;

h) IECQ 认证机构的名称；Name of the issuing IECQ CB;

i) IECQ 认证机构的地址：所在国家、省、市、镇；The address of the IECQ CB-Town, city, province & country;

j) IECQ 认证机构的授权人姓名；Name of IECQ CB authorized person;

k) IECQ 认证机构的授权人签字，仅限在打印版本上签字。Signature of the IECQ CB authorized person-only on the printed version

4.3 IECQ 徽标和认证标志图示 IECQ Logo and Certification Mark

4.3.1 适用于 IECQ HSPM 认证方案的 IECQ 认证标志如下：IECQ logo forIECQ HSPM

IEC logo

IECQ 认证标识包括 IEC 标识，使用时应始终按图示显示，不能独立使用 IECQ 认证标识的任何部分。IECQ 认证标识可从 IECQ 秘书处获得，并可以复制，标识不得扭曲或变形使用。标识的颜色是潘通蓝 286，允许使用白色背景的黑色标志。

IECQ logo include IEC marks, which should always be displayed as shown in the figure.

Any part of IECQ approval marks cannot be used independently. The IECQ approved logo can be obtained from the IECQ Secretariat and can be copied. The logo shall not be distorted or distorted for use. The color of the logo is Pantone blue 286 and black logo with white background is allowed.

4.3.2 北京赛西认证有限责任公司（CESI）有害物质过程管理（HSPM）的认证标志如下所示：CESI certification mark for HSPM

CESI Certification Mark

获证组织使用认证标志应符合上述规定的图案，尺寸可根据赛西认证提供的图样按比例放大或缩小，颜色应使用基本颜色或单一黑色。

The certification mark used by the certified organization shall conform to the pattern specified above, the size can be enlarged or reduced according to the pattern provided by CESI Certification, and the color shall be basic color or single black.

4.3.3 获得带 IECQ 认证标志证书的认证组织应依据 IECQ 的公开文件《IECQ 01A IECQ 指南-IECQ 标识和 IECQ 符合性标志的使用指南》的要求，以及 CESI 认证标志的使用要求，正确使用 IECQ 标识及其符合性标志、CESI 标志。

The certificated organization who obtains the certificate with the IECQ certification mark shall correctly use the IECQ logo, its compliance logo and CESI logo in accordance with the requirements of IECQ public document "IECQ 01A IECQ Guide - Guidance for the use of the IECQ Logo and IECQ Mark of Conformity" and the use requirements of CESI certification logo.

4.3.4 获得带 IECQ 认证标志证书的认证组织有责任确保其活动在所有 IECQ 方案活动均按照 IECQ 要求进行，并确保 IEC 及 IECQ 标识、以及 CESI 认证标志不会被误用或误传。一旦发生误用或误传，本机构应考虑暂停或撤销其 IECQ HSPM 认证证书。

The certificated organization who obtains the certificate with the IECQ certification mark has the responsibility to ensure that its activities are carried out in accordance with IECQ requirements in all IECQ scheme activities, and that IEC and IECQ marks, as well as CESI certification marks, will not be misused or mis-transmitted. In case of misuse or mis-transmission, the agency shall consider suspending or revoking its IECQ HSPM certificate.

4.4 CESI 认证标志、IECQ 认证标识及证书的使用 Use of the CESI certification mark, IECQ certification Mark and certificate

4.4.1 标志和证书的使用 Use of marks and certificates

4.4.1.1 认证合格证书和标志只证明获证组织的有害物质过程管理体系符合申请认证的管理体系标准的要求，不能证明获证组织生产的产品、活动符合其产品标准或产品安全认证标准的要求。获证组织可以将认证合格证书和标志作为符合管理标准要求的证明文件加以应用，但不得将该标志用在产品上，或作为产品的合格说明。获证组织不得将标志用于实验室检测、校准或检查的报告。

The certification certificate and mark only prove that the hazardous substance process management system of the certificated organization meets the requirements of the management system standards applied for certification, but cannot prove that the products and activities produced by the certificated organization meet the requirements of its product standards or product safety certification standards. The certificated organization may apply the certification certificate and mark as the certification documents that meet the requirements of management standards, but it shall not use the mark on the product or as the qualification description of the product. The certificated organization shall not use the mark for the report of laboratory testing, calibration or inspection.

4.4.1.2 获证组织可以将证书和标志用在公开出版物、函件（包括信纸、信封）、传播媒介（如互联网、宣传册或广告）上，但不得引起产品（包括服务）或过程已通过质量、环境、职业健康安全、信息安全、IT 服务等认证的误解。若认证证书范围缩小，获证组织应随之修改所有相关的宣传资料。

The certificated organization may use the certificate and logo on public publications, letters (including letter paper and envelope), media (such as Internet, brochure or advertisement), but it shall not cause misunderstanding that the product (including service) or process has passed the certification of quality, environment, occupational health and safety, information safety, it service, etc. If the scope of certification is narrowed, the certificated organization shall modify all relevant publicity materials accordingly.

4.4.1.3 获证组织可以在产品包装上或附带信息中声明其管理体系通过认证的管理规则。

产品包装的判别标准是其可从产品上移除且不会导致产品分解、碎裂或损坏。附带信息的判别标准是其可分开获得或易于分离。型号标签或铭牌被视为产品的一部分。声明决不应暗示产品、过程或服务以这种方式得到了认证。声明应包含对下列的引用：

The certificated organization may declare the management rules of its management system passing the certification on the product package or in the attached information. The criterion of product packaging is that it can be removed from the product without decomposition, fragmentation or damage. The criterion of additional information is that it can be obtained separately or separated easily. Model labels or nameplates are considered part of the product. The statement should never imply that the product, process or service is certified in this way. The declaration should contain references to the following

-- 获证组织的标识（例如品牌或名称）； Logo of the accredited organization (e.g. brand or name);

-- 适用标准； Applicable standards;

-- 本机构名称。Name of Certification body.

4.4.1.4 如果以某种方式明确说明了“生产该产品的管理体系通过了由赛西认证依据GB/T×××××或ISO×××××或IECQ×××进行的认证”，则可将标志使用在运输产品的大箱子上（不能用在一个有形产品或在单个包装箱、容器等产品上，及在测试/分析活动中所出具的测试/分析报告）。

If it is clearly stated in some way that "the management system for the production of the product has passed the certification conducted by CESI Certification in accordance with GB / T ××××× or ISO ××××××or IECQ××××", the logo can be used on the large box of the transport product (it cannot be used on a tangible product or on a single package, container and other products, as well as the test / analysis report issued in the test / analysis activities).

4.4.1.5 获证组织不得将认证标志使用在与认证范围无关的各类业务及其各类宣传载体上，进行误导宣传。

The certificated organization shall not use the certification mark on all kinds of businesses unrelated to the scope of certification and all kinds of publicity carriers for misleading publicity

4.4.1.6 获证组织在使用认证标志时应接受赛西认证对认证证书和认证标志的正确使用的监督检查。

When using the certification mark, the certificated organization shall accept the supervision and inspection on the correct use of the certification certificate and certification mark.

4.4.1.7 当获证组织的名称、地址或认证要求发生变化时，应提出申请换发认证证书，赛西认证将重新签发认证证书及附件。

When using the certification mark, the certificated organization shall accept the supervision and inspection on the correct use of the certification certificate and certification mark.

4.4.2 标识的使用 Use of logo

获证组织如需使用认证标识，必须与赛西认证的认证合格标志同时使用（具体参见本文件 4.4.3 的要求），使用时应注明组织在赛西认证的证书注册号。

If the certified organization needs to use the certification mark, it must use it together with the certification mark of CESI Certification (see the requirements of 4.4.3 of this document for details), and the organization's certificate registration number of CESI Certification should be indicated when using it.

4.4.3 使用申请 Application for use

赛西认证客户服务部指定专人受理认证标志和认可标识的使用申请。获证组织如需使用认证标志或认可标识，请与客户服务部联系，并说明使用的原因及方案。客户服务部经确认不违反标志、标识的使用规定时，向获证组织提供电子版的认证标志/认可标识。如存在问题，客户服务部应在收到申请后十五天内向申请组织提出。

The customer service department of CESI Certification designates a person to accept the application for the use of certification marks and logo. If the certificated organization needs to use the certification mark or approval mark, please contact the customer service department and explain the reason and scheme for using it. When the customer service department confirms that it does not violate the regulations on the use of marks and logo, it shall provide the certified organization with an electronic version of the certification mark /logo. If there is any problem, the customer service department shall submit it to the application organization within 15 days after receiving the application.

4.5 违规处理 Illegal treatment

如发现获证组织对认证证书、认证标志、IECQ 认证标识的使用不符合要求、误用或

有意错用认证标志、发生对 IECQ 及赛西认证的不正确宣传时，赛西认证将根据其情节的轻重和引起不良影响后果，做出处理，包括：口头或书面警告、要求采取纠正或采取纠正措施、暂停证书、撤销证书资格和公告违规行为及必要的法律措施。

If it is found that the use of certification certificate, certification mark and IECQ certification mark by the certificated organization does not meet the requirements, misuse or intentional misuse of certification mark, and incorrect publicity of IECQ and CESI Certification occurs, CESI Certification will deal with it according to the seriousness of the circumstances and adverse consequences, including verbal or written warning, requiring correction or taking corrective measures, and temporary warning Suspension of certificate, revocation of certificate qualification, announcement of violations and necessary legal measures.

5 暂停、撤销、注销认证的条件及程序 Conditions and Procedures for Suspension, Withdrawal and Cancellation of Certification

5.1 处置通则 General Disposal Provisions

5.1.1 当认证证书被暂停或被终止（撤销/注销）时，赛西认证将按照 IECQ OD015 的要求，在 1 周内通知 IECQ 秘书处，并通过 IECQ OD015 在线系统的记录进行证书的暂停、撤销或注销，同时在官方网站上进行公示，并按要求上报国家认监委（CNCA），并通知获证组织。

Where a certification certificate is suspended or terminated (withdrawn/cancelled), CESI Certification shall notify the IECQ Secretariat within one week in compliance with IECQ OD015, record suspension, withdrawal or cancellation of the certificate via the IECQ OD015 online system, publish relevant information on its official website, report to CNCA as required and inform the certified organization accordingly.

5.1.2 被暂停的带 IECQ 认证标志的 IECQ HSPM 证书只有在所有原因都得到充分解决后才能恢复，并且组织有证据使赛西认证确信其活动范围可以按照 IECQ 和体系要求进行。

赛西认证将按照 IECQ OD015 《在线合格证书创建指南》的要求在 IECQ 在线证书系统中记录所有暂停的恢复。

A Suspended IECQ HSPM Certificate with the IECQ certification mark shall only be

reinstated once all causes have been resolved in full and that the issuing CESI is adequately confident that the organization's scope of activities can be conducted in accordance with IECQ System / Scheme requirements.

CESI Certification shall ensure that all reinstatements of suspensions of IECQ Certificates are recorded in the IECQ On-line Certificate System in accordance with IECQ OD015.

5.1.3 当认证证书被暂停或被终止（撤销/注销）时，组织不得宣传"IECQ 认证"，也不得使用 IECQ 认证标志以及 CESI 认证标志等有关的符合性标志，不得作出或暗示 IECQ 认证或批准的任何声明，不能根据 IECQ 进行进一步的发布。

When the certification certificate is suspended or terminated, the organization shall not publicize "IECQ certification", nor use the compliance mark related to IECQ certification mark or CESI certification mark, nor make or imply any statement of IECQ certification or approval, nor further issue according to IECQ.

5.1.4 若 IECQ 认证组织或申请人不同意 CESI 拒绝签发或暂停/终止（撤销/注销）证书的决定时，可通过 CESI 的申诉程序提出正式申诉后，再根据 IEC CA 01、IECQ 01-S、IECQ 02、IECQ 03-1、IECQ03-5 等规定向 IECQ MC 及 IEC CAB 提出投诉，由 IECQ 秘书处组织调查处理。

If the IECQ certification organization or the applicant does not agree with the decision of CESI to refuse to issue or suspend / terminate the certificate, it can file a formal complaint through the complaint procedure of CESI, and then file a complaint to the IECQ MC and IEC CAB according to IEC CA 01、IECQ 01-S、IECQ 02、IECQ 03-1、IECQ03-5.

5.1.5 由 CESI 撤销/注销的证书，则被视为证书状态的永久更改，证书不可恢复，除非在 IECQ 03-x 规则中后续另有相关特定审核方案规定。

If the certificate is revoked by CESI, it will be regarded as a permanent change of the status of the certificate, and the certificate cannot be restored, unless there is a subsequent specific audit scheme in IECQ 03-x rules.

5.2 暂停 Suspension

5.2.1 获证组织有下列情况之一的，赛西认证在调查核实后的 5 个工作日暂停该组织的认

证资格。

a. 因自身原因无法按时接受监督审核，超过规定期限的；

b. 有害物质过程管理体系持续地或严重地不满足认证要求及对管理体系有效性的要求，包括体系文件与实际业务运作严重脱离；

c. 不满足管理体系适用的法律法规要求，且未采取有效纠正措施的；

d. 拒绝配合认证监管部门实施的监督检查，或者提供虚假材料或信息的；

e. 错误使用认证证书、认证标志，未采取纠正措施的；

f. 被行政监管部门责令停业整顿的；

g. 被地方行政监管部门发现体系运行存在问题，需要暂停证书的；

h. 持有的与管理体系范围有关的行政许可文件、资质证书等过期失效的；

i. 受到与有害物质过程管理体系相关的行政处罚，且尚未完成整改的；

j. 持有的行政许可证明、资质证书、强制性认证证书等过期失效的；

k. 不承担、履行认证合同约定的责任和义务的；

l. 对于监督审核中提出的不符合项，未按规定时限进行纠正且无合理说明的（或纠正措施未被证实有效的）；

m. 发生管理体系相关重大事故，反映体系运行存在重大缺陷的；

n. 发生与有害物质过程管理体系相关重大舆情的；

o. 主动请求暂停的；

p. 其他应暂停认证证书的。

CESI Certification shall suspend the certification qualification of a certified organization within five working days upon verification of any of the following circumstances

a. Failure to undergo scheduled surveillance audit within the prescribed period due to its own reasons;

b. Persistent or serious non-compliance of the HSPM system with certification requirements and effectiveness criteria, including substantial inconsistency between system documents and actual operation;

c. Failure to comply with applicable laws and regulations governing the management system without implementing effective corrective actions;

d. Refusal to cooperate with supervision and inspection by certification regulatory authorities, or provision of falsified documents or information;

e. Improper use of certification certificates or marks without implementing corrective actions;

f. Ordered to suspend business for rectification by administrative regulators;

g. Local administrative authorities identify critical deficiencies in system operation and require certificate suspension;

h. Expiry and invalidation of administrative permits or qualification certificates relevant to the certified scope;

i. Receipt of administrative penalties related to HSPM with pending nonconformity rectification;

j. Expiry and invalidation of relevant administrative approvals, qualification certificates or compulsory certification documents;

k. Failure to perform responsibilities and obligations stipulated in the certification contract;

l. Failure to rectify nonconformities identified during surveillance audit within required time limit without valid justification (or unverified effectiveness of submitted corrective actions);

m. Occurrence of major system-related incidents indicating critical flaws in HSPM operation;

n. Emergence of major public opinion incidents related to HSPM;

o. Voluntary written application for suspension submitted by the certified organization;

p. Other circumstances subject to certificate suspension.

5.2.2 当做出证书暂停处理后，赛西认证将向获证组织发出“管理体系认证证书和标志变化通知”，通知获证组织其证书已被暂停。被暂停认证资格期间，获证组织不得以被认证的身份继续宣传其认证状态和使用认证标志。

After the suspension decision is issued, CESI Certification shall issue the "Notice on Changes of Management System Certification Certificate and Mark" to inform the certified organization of certificate suspension. During suspension period, the organization shall not advertise its certified status or use certification marks in any capacity as a certified entity.

5.2.3 一般情况下，认证资格暂停时间不超过 6 个月。

Normally, the suspension period shall not exceed six months.

5.2.4 当被暂停认证资格的获证组织在赛西认证规定的期限内采取整改措施，并经验证满足规定的条件后，赛西认证将取消暂停，恢复其认证资格；超过规定时间后将撤销其认证资格，通知获证组织并收回证书。暂停期间，经获证组织确认并同意后，可能在暂停期到

期前撤销其认证资格。

When a certified organization whose certification qualification has been suspended takes corrective actions within the time limit specified by CESI Certification and is verified to have met the specified conditions, CESI Certification shall lift the suspension and restore its certification qualification. If the specified time limit is exceeded, CESI Certification shall withdraw its certification qualification, notify the certified organization, and recall the certificate. During the suspension period, with the confirmation and consent of the certified organization, its certification qualification may be withdrawn before the expiry of the suspension period.

5.3 撤销 Withdrawal

5.3.1 获证组织有下列情况之一的，赛西认证在获得相关信息并调查核实后的 5 个工作日撤销其认证资格。

a. 被注销或撤销法律地位证明文件的；

b. 被“国家企业信用信息公示系统”和“信用中国”列入严重违法失信名单；

c. 被暂停认证资格后，未在暂停期限内就存在问题采取相应有效的整改措施的；

d. 有害物质过程管理体系存在严重违反法律法规要求的；

e. 发生管理体系相关重大事故，经行政监管部门确认是获证组织违规造成的；

f. 没有运行管理体系或者因解散、破产、倒闭、经营不善或其它原因已不具备运行条件的；

g. 在认证有效期内，由于体系认证规则发生变更，获证组织不愿符合新要求的；

h. 严重违反与赛西认证正式协议中的有关规定，已造成了严重影响和后果且经查属实的；

i. 其他应撤销认证证书的。

CESI Certification shall withdraw the certification qualification within five working days after information verification if any of the following circumstances occurs to the certified organization:

a. Its legal identity documents are cancelled or revoked;

b. The organization is included in the serious dishonesty list on the National Enterprise Credit Information Publicity System and Credit China platform;

c. No effective corrective actions are implemented within the suspension period after

certification suspension;

d. The HSPM system has serious violations against applicable laws and regulatory provisions;

e. Major system-related accidents are confirmed by administrative authorities to be caused by the organization's irregular operations;

f. he management system ceases operation or the organization loses operating conditions due to dissolution, bankruptcy, liquidation, poor management or other reasons;

g. The organization refuses to comply with updated certification scheme requirements released during the certificate validity period;

h. Severe breach of formal agreements signed with CESI Certification with verified adverse consequences;

i. Other circumstances requiring certification withdrawal.

5.3.2 当作出撤销获证组织的认证资格后，赛西认证向获证组织发出“管理体系认证证书和标志变化通知”，通知获证组织其证书已被撤销。被撤销认证资格的获证组织不得继续其所有利用认证资格的活动，并按赛西认证的要求交回认证证书。

Upon the decision of certification withdrawal, CESI Certification shall issue the "Notice on Changes of Management System Certification Certificate and Mark" to the certified organization to notify the withdrawal of its certification qualification. The organization whose certification is withdrawn shall cease all activities relying on certification status and return the certification certificate as required by CESI Certification.

5.4 注销 Cancellation

5.4.1 获证组织主动申请不再保持认证证书时，赛西将在确认其不存在暂停或撤销情形后，注销其认证证书。

Where a certified organization voluntarily applies to terminate its certification, CESI Certification shall cancel its certification certificate after confirming no pending grounds for suspension or withdrawal exist.

5.4.2 当作出注销获证组织的认证资格后，赛西认证向获证组织发出“管理体系认证证书和标志变化通知”，通知获证组织其证书已被注销。被注销认证资格的获证组织不得继续其所有利用认证资格的活动，并按赛西认证的要求交回认证证书。

After adopting the cancellation decision, CESI Certification shall issue the "Notice on Changes of Management System Certification Certificate and Mark" to inform the certified organization of certificate cancellation. The organization with cancelled certification shall discontinue all activities based on certification qualification and surrender the original certification certificate as required by CESI Certification.

6 申、投诉 Appeals and complaints

6.1 管理体系认证的获证组织可依据 IEC CA 01、IECQ 01-S、IECQ 02、IECQ 03-1、IECQ03-5 的相关要求可对赛西认证与认证有关的工作提出申诉或投诉。

The certificated organization of management system certification can lodge appeals or complaints about the work related to the certification in accordance with IEC CA 01、IECQ 01-S、IECQ 02、IECQ 03-1、IECQ03-5.

6.2 申、投诉人对处理结果有不同意见时，可直接向 IECQ MC 及 IEC CAB 提出投诉，由 IECQ 秘书处组织调查处理。投诉可通过访问 IECQ 官方网站(https://www.iecq.org)或发邮件至 info@iecq.org 来实现。

If the appellant or complainant disagrees with the result, he/she may lodge a complaint directly to the IECQ MC and the IEC CAB for investigation and handling by the IECQ Secretariat.Complaints can be made by visiting the official IECQ website at https://www.iecq.org or by sending an email to info@iecq.org.

6.3 申、投诉的详细规定见赛西认证公开文件《申诉、投诉和争议处理规则》。

For details of application and complaint, please refer to CESI's public document "Rules for handling appeals, complaints and disputes".

7 收费 Payment

7.1 赛西认证是经国际电工委员会电子元器件质量评定体系(IECQ)及中国合格评定国家认可委员会（CNAS）认可的，不以营利为目的的，自负盈亏、独立核算的第三方管理体系认证机构，其认证业务活动费用来自认证收费。

CESI Certification is a non-profit, self financing, independent accounting third-party

management system certification body approved by IECQ and CNAS. The cost of its certification business activities comes from certification fees

7.2 收费项目包括：The charges include:

a.固定费用 fix fees，

含： 1) 申请费 application fee

2) 注册费 registration fee

3) 证书费 certificate fee

4) 年金（如标志使用费、管理费）administrative fee (fees for use of logo)

b.认证审核费，certification audit fees,

含： 1) 文件审查费 charge of document review

2) 现场审核费 charge of on-site audit

c.交通、食、宿费（由申请方承担或据实收取）Transportation, food and accommodation expenses (borne by the applicant or charged according to the facts)

d.监督审核费：包括现场审核费和年金，在证书有效期内按照合同约定的周期实施监督审核，最后一次监督审核将同证书三年有效期满的再认证一起进行。

Supervision and audit fee: including on-site audit fee and annuity. During the validity period of the certificate, the supervision and audit shall be carried out according to the cycle agreed in the contract. The last supervision and audit shall be carried out together with the re certification of the certificate which has expired for three years.

7.3 收费标准 Charging standard

认证管理费根据 IECQ、CNAS、CCAA 及国家有关规定执行。认证审核费（包括监督审核）根据申请方的规模大小，审核现场场地分布，产品复杂程度以及申请的认证用标准，按 IECQ、CNAS 的要求核定现场审核所需人日数核定审核费。赛西认证收费标准详见“管理体系认证/注册收费标准”。

The certification management fee shall be implemented in accordance with IECQ, CNAS, CCAA and relevant national regulations. Certification audit fee (including supervision audit) according to the scale of the applicant, the distribution of audit site, the complexity of the product and the applied certification standards, according to the requirements of IECQ and CNAS, the number of people and days required for on-site audit, and the audit fee. See "management system certification / registration fee standard" for the fee standard of CESI Certification

8 其他 others

本认证规则由北京赛西认证有限责任公司总经理批准后实施。

The procedure rules shall be implemented after being approved by the general manager of CESI Certification Co., Ltd.

附录 1：国家认证认可监督管理委员会批文

附录 2：赛西认证获 IECQ 认可的业务范围及业务区域

附录 3：管理体系信息通报表

附录 4：赛西认证各业务联系方式

附录 5：审核人日

附录 6：认证证书样式

Appendix 1: approval document of national certification and Accreditation Administration

Appendix 2: business scope and business area recognized by IECQ

Appendix 3: management system information notification form

Appendix 4: business contact information of CESI Certification

Appendix 5：Audit man-days

Appendix 6：format of certifica

附录 1 国家认证认可监督管理委员会批文

Appendix 1: approval document of national certification and Accreditation Administration



认证机构批准书

批　　准　　号：CNCA-R-2002-011
机　构　名　称：北京赛西认证有限责任公司
住　　所：北京市东城区安定门东大街一号院1号楼2层
法定代表人：段淼
注　册　资　本：1000 万元
统一社会信用代码：91110101567495S0XW
法　人　类　型：股份有限公司

认证业务范围：见附页
颁　发　日　期：2002年12月10日
换　发　日　期：2025年01月02日
有　效　期　至：2030年12月10日

国家认证认可监督管理委员会

附录 2 赛西认证获 IECQ 认可的业务范围及业务区域：

Appendix 2: business scope and business area recognized by IECQ

业务范围：IECQ QC080000 有害物质过程管理体系要求（HSPM）

IECQ Scheme for application: IECQ QC080000 Hazardous Substance Process Management（HSPM）

业务区域：亚洲太平洋和其他

Region in which the Applicant wishes to operate as an IECQ CB: Asia Pacific and others

认可证书见下：



INTERNATIONAL ELECTROTECHNICAL COMMISSION

IEC QUALITY ASSESSMENT SYSTEM FOR ELECTRONIC COMPONENTS (IECQ)

CERTIFICATE OF ACCEPTANCE
OF AN IECQ CERTIFICATION BODY

ISSUED TO **CESI Certification Co., Ltd.**

IECQ CB HEAD **Mr Han Shuoxiang, CESI Cert., General Manager**

IECQ CB ADDRESS **Floor 2, Building 1, No. 1 Dongdajie Andingmen, Dongcheng District, Beijing, 100007 P.R.China**

THIS CERTIFICATE OF ACCEPTANCE HAS BEEN GRANTED SUBJECT TO THE REQUIREMENTS OF IECQ RULES AND PROCEDURES AND IN RESPECT OF THE RANGE OF ACTIVITIES, RESOURCES AND ARRANGEMENTS SPECIFIED IN THE NATIONAL STATEMENT OF SURVEILLANCE ARRANGEMENTS, REF.:

IECQ SSA CESI Cert Rev.3

ACCEPTED TO PARTICIPATE IN:

IECQ HSPM Scheme – Hazardous Substance Process Management

FOR AND ON BEHALF OF THE MANAGEMENT COMMITTEE OF THE IECQ

IECQ CHAIRMAN

THIS CERTIFICATE IS VALID FOR A MAXIMUM PERIOD OF FIVE YEARS FROM THE DATE OF RE-ACCEPTANCE AND REMAINS THE PROPERTY OF THE IECQ.

DATE OF ACCEPTANCE DECISION: **April 2023** EXPIRY DATE: **April 2028**

附录 3 管理体系信息通报表 Information notification form

组织名称			
通讯地址（含邮编）			
采用标准	☐GB/T 19001-_____ ☐GB/T 24001-_____ ☐GB/T 45001- _ ☐GB/T 22080-_____ ☐ISO/IEC 20000-1：_____☐GB/T 23331-_____ ☐QC 080000-_____ ☐其他：_____		
注册号		证书有效期	
联系人		电　话	
邮　箱		邮　编	
体系认证范围			

一、本组织管理体系的更改（在相应说明☐中打 √，并随附相应更改的信息）。

1. 获证组织名称变更 ☐
2. 获证组织法定代表人、最高管理者、管理者代表变更 ☐
3. 获证组织法律地位、生产经营状况、组织状态或所有权变更 ☐
4. 联系人信息变更（注明联系人名称、职务、手机、座机、邮编、传真） ☐
5. 地址变更（注册地址、通讯地址、审核覆盖地址的变更） ☐
6. 行政许可资格、强制性认证或其他资质证书变更 ☐
7. 专业范围或生产制造或产品或活动范围变更如需变更认证范围，需提交申请表） ☐
8. 相关法律法规的变更 ☐
9. 管理体系和重要过程的重大变更 ☐
10. 体系内人数变更 ☐
11. 其他方面变更 ☐

变更详细描述（可另附相关资料）	变更内容详述： 变更时间节点：☐结合监督变更 ☐单独变更

二、企业发生事故（产品质量、职业健康安全、环境、信息安全、IT 服务、能源事故）或执法部门检查时发现的问题或重大投诉情况（请写明时间、地点、经过、原因分析、结果）：

三、执法部门检查时发现的问题或重大投诉情况（请写明时间、地点、经过、原因分析、结果）：

签发人（单位盖章）：　　年　月　日

备注：如以上管理体系变更涉及到证书的更换（如组织名称、注册地址、审核地址变更等），需交纳证书费 500 元。

附录 4　CESI 认证业务联系方式 Contact information

部门 Dept.	工作内容 Content	联系电话 Contact Tel.
客户服务部	● 认证申请受理、合同洽谈； ● 认证后服务、认证交费、IECQ 证书在线注册（IECQ 官网证书系统）、中文证书制作、证书领取； ● 申、投诉受理； ● 认证证书、标志使用申请受理 ● 体系变更通报受理	010-64102688 010-64102689 010-64102699
审查一部	● 审核计划安排； ● 认证证书、标志使用的监督管理 ● 新业务领域的技术储备； ● 认证技术支撑	010-64102706
技术委员会	● 复核和认证决定	010-64102691

附录 5 审核人日 Audit man-days

本附录内容源于IECQ 03-5 附录A（规范性）“初审、再认证及监督审核人日”

The following factors (non exhaustive) may increase or decrease the times shown below.
以下因素（但不仅限于）可能会增加或减少下面显示的时间。

- Type of business 业务类型
- Complexity 复杂程度
- Logistics 后勤安排
- Multiple or single process 多个或单个过程
- Language 语言
- Variety of activities undertaken by employees 雇员开展活动的差异性
- Degree of regulation 法规的程度
- Stability of the IECQ HSPM System IECQ HSPM体系的稳定性

The IECQ CB shall determine the total man days required for the initial, re-certification and surveillance assessment based on the number of employees at each of organization’s facility/location(s) and shall not combine the total number of employees for all sites. The increase or reduction in the times shown below may be altered due to the factors above or combinations of, but not by more than 30 %. Any change to the times shown below shall be justified in the report.
For organizations with 150 staff or less, the ½ man-day document review may be conducted on site immediately prior to commencement of the initial assessment where upon the scope and timetable for the initial assessment shall be agreed between the IECQ CB and the organization. Ideally, organizations with more than 150 staff will have their document review conducted on or off site sometime prior to the planning of the initial assessment. However, those IECQ CBs with confidence of their knowledge of the organization involved may conduct the document review in a similar manner to that arranged for smaller organizations.
IECQ CB应根据每个组织设施/地点的员工人数确定初始，重新认证和监督评估所需的总人天数，并且不得将所有工厂的员工总数合并。由于上述因素或组合，下面显示的时间的增加或减少可能会改变，但不超过30%。对以下时间的任何更改均应在报告中说明理由。
对于拥有150名或更少员工的组织，1/2人日的文件审查可以在初始评估开始之前立即在现场进行，其中IECQ CB和组织应商定初始评估的范围和时间表。理想情况下，拥有150名以上工作人员的组织将在规划初步评估之前的某个时候在现场或场外进行文件审查。但是，那些对相关组织有信心的IECQ CB可以以类似于为小型组织安排的方式进行文件审查。

Certified entity number of employees	Initial assessments on-site days	Re-certification assessments on-site days	Initial assessment document review days. Re-certification document review as necessary	Annual surveillance days
1 – 75	2	2	0,5	1.5
76 – 150	3	2,5	0,5	2
151 – 600	4	3	1	3
601 – 1 000	5	4	1	3
1 001 – 2 000	5	4,5	1	4
2 001 – 3 000	6	5	1	4
3 001 – 4 000	7	6	1	5
4 001 – 8 000	8	6,5	1	5
8 001 – 15 000	8	7	1	6
15 001 – 20 000	9	8	1	6

附录 6 认证证书样式 Format of certificate

IEC QUALITY ASSESSMENT SYSTEM (IECQ)
covering Electronic Components,
Assemblies, Related Materials and Processes
For rules and details of the IECQ visit www.iecq.org

IECQ Certificate of Conformity
Hazardous Substance Process Management

IECQ Certificate No.:	**IECQ-H CESICERT XX.0001-0X**	**Issue No.:**	**1**	**Status:**	**Current**
Additional Site to Certification:	**IECQ-H CESICERT XX.000X**		**Originally Issued: 20XX/XX/XX**		
Supersedes:		**Issue Date:**	**20XX/XX/XX**	**Site Added:**	**20XX/XX/XX**
CB Reference No.:	SGXXCY01QC01-0X	**Expiration:**	**20XX/XX/XX**		

Applicable to:

- **European Directive 2011/65/EU ("RoHS – Restriction of the use Of certain Hazardous Substances") in electrical and electronic equipment. Including all published amendments**
- **China – RoHS 2 2016-01-21 (Management Methods for the Restriction of the Use of Hazardous Substances in Electrical and Electronic Products)**

XXXXXXXX Co., Ltd.
XXXXXXXX
XXXXXX

The organization has developed and implemented Hazardous Substance Process Management procedures and related processes which have been assessed and found to comply with the applicable requirements for IECQ HSPM organization approval which is in accordance with the Basic Rules IECQ 01 and Rules of Procedure IECQ 03-5 "IECQ Hazardous Substances Process Management" of the IEC Quality Assessment System for Electronic Components (IECQ), and with respect to the IECQ Specification:

- **IECQ QC 080000:2017** - Hazardous Substance Process Management System Requirements

This Certificate is applicable to all electronic components, assemblies, related materials and processes for the following scope of activities:

-
XXXXXXXX.
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Issued by the Certification Body: CESI Certification Co. Ltd.

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-- Attached Translation: IECQ-H CESICERT 23.0001-01_zhs.pdf --

IECQ-H Rev. 08

国际电工委员会质量评定体系 (IECQ)
覆盖电子元器件、组装件、相关物料和过程
IECQ 有关组织及详情，请访问 www.iecq.org

IECQ 符合性证书

有害物质过程管理

IECQ 证书号码:	IECQ-H CESICERT XX.0001-0X	发出序号:	1	状态:	Current
证书附加现场:	IECQ-H CESICERT XX.000X			初始发证日期:	20XX/XX/XX
取代:		发行日期:	20XX/XX/XX	增加/扩展日期:	20XX/XX/XX
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适用于:

- European Directive 2011/65/EU ("RoHS – Restriction of the use Of certain Hazardous Substances") in electrical and electronic equipment. Including all published amendments
- China – RoHS 2 2016-01-21 (Management Methods for the Restriction of the Use of Hazardous Substances in Electrical and Electronic Products)

XXXXXXXX有限公司

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该组织已制定和实施有害物质过程管理程序和相关过程，经审核，发现这些程序及过程符合适用的IECQ HSPM组织批准要求，即IEC电子元器件质量评定体系（IECQ）的基本规则IECQ 01和程序规则IECQ 03-5 "IECQ 有害物质过程管理"，以及IECQ规范：

- IECQ QC080000: 2017 - 有害物质过程管理体系要求

此证书适用于以下活动范围内的所有电子元器件、组装件、相关物料和过程：

XXXXXXXX

– Attached Schedule(s): Non –

由认证机构签发: CESI Certification Co. Ltd.

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