



管理体系认证程序规则
(适用于 IECQ HSPM)
Procedure Rules for IECQ HSPM



北京赛西认证有限责任公司
CESI Certification Co., Ltd.



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,特制定本程序规则,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

本程序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 03-1 Rules 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.



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. 遵守本程序规则的有关要求。

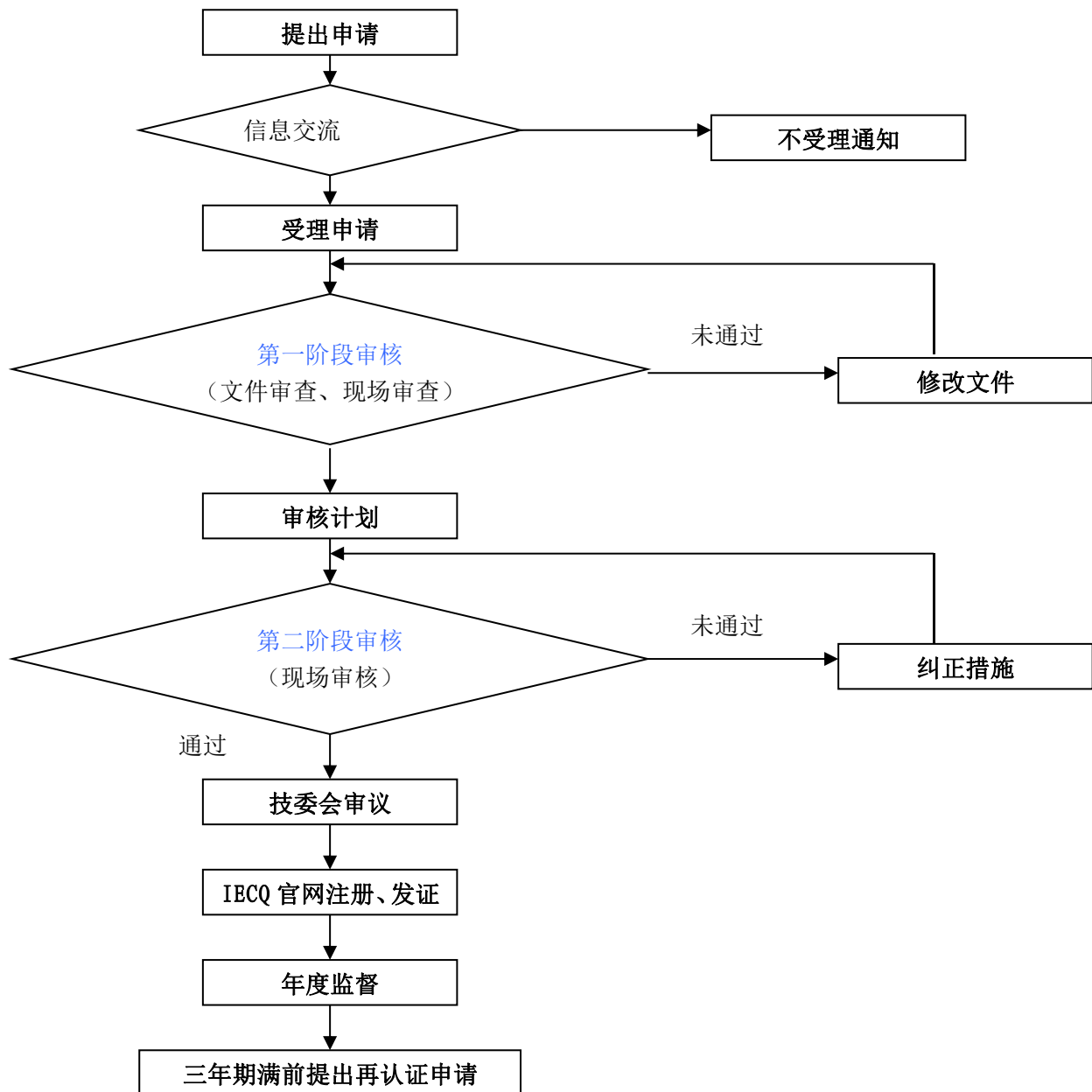
Comply with the relevant requirements of the Rules of Procedure.

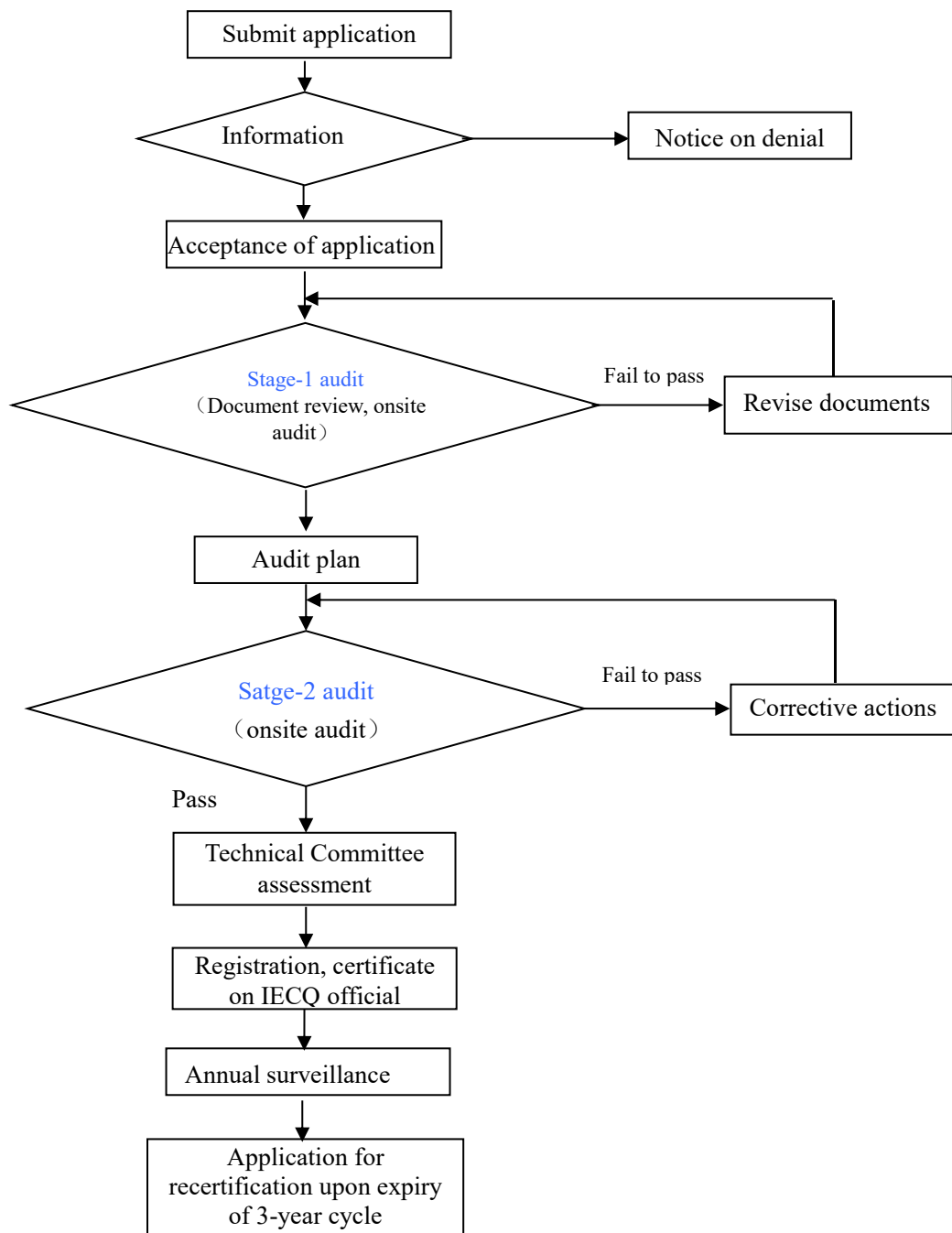
c. 受审核方已经按本文件 1.3 条中的相应标准或申请方提出的其他标准建立了文件化的管理体系并运行 3 个月以上, 且内部审核和管理评审涵盖所有操作过程。

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

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

3.3 审核准备 Audit preparation

由赛西认证选派有资格的 IECQ 审核人员组成审核组(一般不少于 2 人组成)。必要时可聘请技术专家参加。派出技术专家、观察员和实习审核员时, 均不增收工作人日。

The audit team is composed of qualified IECQ auditors appointed by CESI Certification (generally no less than 2 persons). If necessary, technical experts can be invited to participate. When technical experts, observers and intern auditors are dispatched, there will be no additional working days.

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, 并在审核之前获得申请方的确认, 申请方如有异议可以提出, 由赛西认证和申请方协商调换。

The audit team shall formulate audit plan according to the characteristics of the hazardous substance process management system of the applicant, and obtain confirmation from the applicant prior to audit. If the applicant has any objection, it can put forward it, which shall be replaced by CESI Certification and the applicant through negotiation.

3.4 审核 Audit

考虑申请方的管理体系建立的特点, 当申请方申请同时按照两个或两个以上管理体系标准的要求接受审核, 也可以同时进行, 即“结合审核”。

管理体系的审核分为第一阶段审核和第二阶段审核。

Considering the characteristics of the establishment of the management system of the applicant, When the applicant applies to be audited in accordance with the requirements of two or more management system standards at the same time, it can also be audited at the same time, that is, "combined audit".

The audit of management system is divided into the first stage audit and the second stage



audit.

3.4.1 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.

3.4.2 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

3.4.3 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.

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

3.5.1 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.

3.5.2 颁证

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文认证证书,证书有效期为三年。

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。

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。

3.5.2 Issuance of certificate

If the review results meet the requirements of IECQ process management system for hazardous substances, CESI certification will provide the applicant with an approved written SAR audit report and register in IECQ online certificate system. CESI will provide a Chinese certification certificate with printed signature, and the validity period of the certificate is three years.

The IECQ certificate issued on the IECQ official website is used to confirm that the certified organization meets the requirements of IECQ hazardous substance process management system standard to all walks of life, and provide selection guidance for users to establish contract relationship with the certified organization.

CESI certification makes use of various opportunities to introduce the relevant management system certification organizations to users at home and abroad, and to accept inquiries from users at home and abroad.

3.6 保持认证 Maintenance certification

3.6.1 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.

3.6.2 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。通常情况,初次认证后的第一次监督审核应在认证决定日期起 12 个月内进行,且一般情况下每两次监督审核的时间间隔不能超过 12 个月。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、洪水等特殊情况下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。

During the three-year validity period of the certification certificate, CESI certification will regularly supervise and audit the certificated organization to verify whether the management system of the certificated organization continuously meets the requirements of the management system standards. Generally, the first surveillance audit after the initial certification should be conducted within 12 months from the date of certification decision and the interval between two surveillance audits should not exceed 12 months. It can be considered to be carried out simultaneously with the audit of ISO 9001 certificate obtained by the organization. When the certified organization cannot accept the supervision audit on schedule due to the occurrence of epidemic, earthquake, flood and other special circumstances, it shall be carried out in accordance with the requirements of the CESI document IN-MS-HS-01 "Certification activities in times of extraordinary events"



3.6.3 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.

3.6.4 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 再认证要求 **Re-certification requirements**

认证合格证书有效期满前三个月, 获证组织可提出换证申请。赛西认证将对获证组织管理体系进行全面再认证, 全面再认证的程序与初次审核时的程序相同。经全面再认证确认获证组织管理体系持续满足管理体系标准要求, 赛西认证批准同意其延长, 并更换证书。

Three months before the expiration of the certificate, the certificated organization may apply for re-certification. CESI certification will conduct a comprehensive re-certification of the management system of the certified organization, and the procedures for the comprehensive re-certification are the same as those for the initial audit. After comprehensive re-certification, it is confirmed that the management system of the certificated organization continues to meet the requirements of the management system standards, and CESI certification approves the extension and replacement of the certificate.



3.8 认证转换 *Certification transfer*

3.8.1 转换申请 *Application*

若 IECQ 证书持有人将其 IECQ 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 certificate holders transfer their IECQ certificates from other IECQ certification bodies to CESI, 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.

3.8.2 转换评审 *Review*

3.8.2.1 客户服务部应收集组织最新的 IECQ 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 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.

3.8.2.2 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 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 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.

3.8.3 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 证书机构应立即向 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 Certification certificate

4.2.1 IECQ HSPM 认证证书的最终版本以在 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 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.

4.2.2 按照 IECQ 认证规则的规定, 证书的有效期为三年。

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

4.2.3 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-City/Town,State/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 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 HSPM 方案的 IECQ 认证标志如下：IECQ logo for HSPM



IEC logo

IECQ 认可标识包括 IEC 标识，使用时应始终按图示显示，不能独立使用 IECQ 认可标识的任何部分。IECQ 认可标识可从 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 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 认证证书。

The certificated organization 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 certification

4.4 认证标志、IECQ 认可标识及证书的使用 Use of certification mark, IECQ Accreditation 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可标识，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 Accreditation 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 认可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 approval 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 证书的暂停、注销/撤销 Suspension or Cancellation (withdrawal) of certificates

5.1 证书的暂停或注销/撤销 Suspension or Cancellation (withdrawal) of certificates

5.1.1 由 CESI 行使证书的暂停或注销/撤销, 具体如下:



- a) 组织未支付认证费用, 证书暂停或注销;
- b) 证书信息有误, 证书注销;
- c) 证书持有人申请注销;
- d) 获证组织以误导的方式使用证书, 由客户服务部通知组织进行整改, 若该组织未能在 CESI 通知要求的 2 周内采取纠正措施, 则该证书暂停使用, 并有可能撤销;
- e) 获证组织不再符合 IECQ 或体系要求; 不在能够证明组织活动范围内的质量体系、相关过程或程序符合认证要求时, 证书暂停或撤销;
- f) 其他导致证书暂停或注销/撤销的情形。

The suspension or cancellation / revocation of the certificate by CESI is as follows:

- a) The certification fee is not paid by the organization, and the certificate is suspended or cancelled;
- b) Certificate information error, the certificate will be cancellation;
- c) The certificate holder applies for cancellation;
- d) If the certificated organization uses the certificate in a misleading way, the customer service department will inform the organization to rectify. If the organization fails to take corrective measures within 2 weeks as required by the CESI notice, the certificate will be suspended and may be revoked;
- e) The certificated organization no longer meets the requirements of IECQ or system; the certificate is suspended or revoked when the quality system, related processes or procedures within the scope of the organization's activities can not be proved to meet the certification requirements;
- f) Other circumstances leading to the suspension or cancellation / revocation of the certificate.

5.1.2 若 CESI 认为导致撤销证书的原因是暂时的, 且组织有证据证明这些原因可以在短时间(通常不超过一个月)整改的, 则 CESI 仅暂停证书, 否则 CESI 将撤销证书。若由 CESI 撤销证书, 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 CESI considers that the reasons for revocation are temporary, and the organization has evidence to prove that these reasons can be rectified in a short time (usually no more than one



month), CESI will only suspend the certificate, otherwise CESI will revoke the certificate. 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.

5.1.3 由获证组织提出的证书暂停/注销/撤销, 并附理由。

Certificate suspension / cancellation / revocation by certificated organization with reasons

5.1.4 当认证证书被暂停或被终止时, 赛西认证将 IECQ 证书的所有暂停和终止按照 IECQ OD015 的要求记录在 IECQ 在线证书系统中。终止 IECQ 证书时, 赛西认证将在 1 周内通知 IECQ 秘书处, 通过 IECQ OD015 在线系统的记录进行证书的注销/撤销。

when the certificate is suspended or terminated, CESI certification will record all the suspension and termination of IECQ Certificate in the IECQ online certificate system according to the requirements of IECQ od015. When the IECQ certificate is terminated, CESI certification will inform the IECQ Secretariat within one week to cancel / cancel the certificate through the records of IECQ od015 online system.

5.1.5 当认证证书被暂停或被终止时, 组织不得宣传“IECQ 认证”, 也不得使用 IECQ 标志有关的符合性标志, 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 mark, nor make or imply any statement of IECQ certification or approval, nor further issue according to IECQ.

5.1.6 若 IECQ 认证组织或申请人不同意 CESI 拒绝签发或暂停/终止证书的决定时, 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.



5.2 暂停恢复 Reinstatement of IECQ Certificates

暂停的 IECQ 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 Certificate 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 OD 015.

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,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

本程序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

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



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：韩硕祥 注 册 资 本：1000 万元

法人注册号：9111010156749550XW

法 人 类 型：有限责任公司（法人独资）

法 人 分 支 机 构：无



认证业务范围：见附页

颁发日期：2002 年 12 月 10 日

换发日期：2019 年 7 月 5 日

有效期至：2024 年 12 月 10 日

备案信息及年度报告信息请登录 www.cnca.gov.cn 网站查询

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



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	<input type="checkbox"/> GB/T 19001-_____ <input type="checkbox"/> GB/T 24001-_____ <input type="checkbox"/> GB/T 45001-_____ <input type="checkbox"/> GB/T 22080-_____ <input type="checkbox"/> ISO/IEC 20000-1: _____ <input type="checkbox"/> GB/T 23331-_____ <input type="checkbox"/> QC 080000-_____ <input type="checkbox"/> 其他：_____																								
注册号		证书有效期																							
联系人		电 话																							
邮 箱		传 真																							
体系认证范围																									
<p>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）。</p> <table><tr><td>1. 获证组织名称变更</td><td><input type="checkbox"/></td></tr><tr><td>2. 获证组织法定代表人、最高管理者、管理者代表变更</td><td><input type="checkbox"/></td></tr><tr><td>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</td><td><input type="checkbox"/></td></tr><tr><td>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）</td><td><input type="checkbox"/></td></tr><tr><td>5. 地址变更（注册地址、通讯地址、审核覆盖地址的变更）</td><td><input type="checkbox"/></td></tr><tr><td>6. 行政许可资格、强制性认证或其他资质证书变更</td><td><input type="checkbox"/></td></tr><tr><td>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）</td><td><input type="checkbox"/></td></tr><tr><td>8. 相关法律法规的变更</td><td><input type="checkbox"/></td></tr><tr><td>9. 管理体系和重要过程的重大变更</td><td><input type="checkbox"/></td></tr><tr><td>10. 体系内人数变更</td><td><input type="checkbox"/></td></tr><tr><td>11. 其他方面变更</td><td><input type="checkbox"/></td></tr></table>				1. 获证组织名称变更	<input type="checkbox"/>	2. 获证组织法定代表人、最高管理者、管理者代表变更	<input type="checkbox"/>	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	<input type="checkbox"/>	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）	<input type="checkbox"/>	5. 地址变更（注册地址、通讯地址、审核覆盖地址的变更）	<input type="checkbox"/>	6. 行政许可资格、强制性认证或其他资质证书变更	<input type="checkbox"/>	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）	<input type="checkbox"/>	8. 相关法律法规的变更	<input type="checkbox"/>	9. 管理体系和重要过程的重大变更	<input type="checkbox"/>	10. 体系内人数变更	<input type="checkbox"/>	11. 其他方面变更	<input type="checkbox"/>
1. 获证组织名称变更	<input type="checkbox"/>																								
2. 获证组织法定代表人、最高管理者、管理者代表变更	<input type="checkbox"/>																								
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	<input type="checkbox"/>																								
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）	<input type="checkbox"/>																								
5. 地址变更（注册地址、通讯地址、审核覆盖地址的变更）	<input type="checkbox"/>																								
6. 行政许可资格、强制性认证或其他资质证书变更	<input type="checkbox"/>																								
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）	<input type="checkbox"/>																								
8. 相关法律法规的变更	<input type="checkbox"/>																								
9. 管理体系和重要过程的重大变更	<input type="checkbox"/>																								
10. 体系内人数变更	<input type="checkbox"/>																								
11. 其他方面变更	<input type="checkbox"/>																								
变更详细描述（可另附相关资料）																									
<p>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）：</p>																									
<p>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）：</p>																									
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	<ul style="list-style-type: none">● 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	<ul style="list-style-type: none">● 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	<ul style="list-style-type: none">● 复核和认证决定	010-64102691